Policies and Procedures Manual
(ASQA CRICOS RTO)

Sydney Global College

Policies and Procedures Manual Contents

Sydney Global College
Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

Document Version Control

This section is to update version control information in accordance with the Level 1 Document Version Control Procedure located elsewhere in the Policies and Procedures Manual.

Changes to this section are only to be made by personnel approved to do so by the College and in accordance with the Version Control procedure.

Instructions

1   All changes are made in the **Status** column by selecting the appropriate item and then entering data directly. Be careful not to delete document property fields. Select the text in each cell **not** the whole cell.
2   **Document title** is the file name of the document
3   **Version number** is a sequential number designating the version of the document.
4   **Document status** has 4 options. The current option is to be selected from the dropdown list by the person checking, approving or publishing. The four options are:
   - Draft – selected whilst the document is being reviewed and modified
   - Awaiting approval – selected when all reviews and modifications have been completed
   - Approved for publishing – selected once the document has been approved
   - Published – selected when the document has been published and loaded onto the College Version Control folder
5   **Checked by** records the name(s) of the people in the College who have checked the document contents. Enter each name directly, separate names with commas. When all people have completed their checks the **Document status** is changed to *"Awaiting approval"*
6   **Approved by** records the name of the person in the College who approves the document for publishing. The name is entered directly. Change the **Document status** to *"Approved for publishing"* once approval has been granted.
7   **Published by** records the name of the person in the College who publishes the document. The name is entered directly. Change the **Document status** to *"Published"* once the document is published.
8   **Published Date** is the date the document is published.

Version control record

Item	Status	Approvals
Document Title	Policies and Procedures Manual	
Jurisdiction	Australian Skills Quality Authority	
Version Number	Version 3.0	
Document Status	Draft for Audit	
Checked by	CEO	.... Date ....
Approved by	CEO	.... Date ....
Published by	CEO	
Published Date	TBA	

Code of practice

This Code of Practice requires the Sydney Global College to implement policies and management practices that maintain high professional standards in the delivery of education and training services and which safeguard the educational interests and welfare of staff and students.

Educational Purpose

Sydney Global College Pty Ltd has been established principally to provide high quality education and training to students on a sustainable commercial basis over the long-term. The College is regulated by specific legislation and the laws and regulations that apply to all Registered Training Organisations in Australia.

It is our intention to exceed the requirements of these minimum standards and provide students with high quality facilities, staff, training and support that will surpass their expectations.

Administration and management

Sydney Global College will meet the following minimum administrative and management standards:

* Ensure a person or persons with relevant qualifications and experience will undertake responsibility for the management and coordination of training delivery, assessment, verification, staff selection and professional development of the College;
* Maintain adequate and appropriate insurance including public liability, and WorkCover;
* Advise the Registering Authority in writing within 10 working days of any change to the information contained in its Registration/Endorsement Application*;*
* Allow the Registering Authority or its agent's access to training records, delivery locations and staff for the purpose of auditing performance or verifying compliance with the Conditions of Registration;
* Pay the Registering Authority all registration fees within 30 days of these fees being due and payable to maintain currency of registration;
* Maintain systems for recording student enrolments, attendance, completion, assessment outcomes (including Recognition of Prior Learning), results, qualifications issued, complaints, appeals and the archiving of records;
* Treat all personal records of clients with the strictest confidentiality;
* Provide for staff and students to be able to access their own records.

Course delivery

Sydney Global College will:

* Provide, prior to course commencement, an orientation program containing information about the course curriculum, program of study and availability of learning resources;
* Ensure that a current copy of the course curriculum is available to staff and students;
* Ensure that training and assessment occur in accordance with the requirements of the course curriculum;
* Ensure that National guidelines are followed when customising courses to meet the needs of particular clients;
* Obtain permission from course copyright owners prior to course delivery to use and, if required, customise courses;
* Ensure that all courses on the Scope of Registration remain current.

Staff

* Demonstrated vocational competencies at least to the level of those being delivered and assessed;
* Industrial and / or workplace experience and skills that are current and relevant to the particular courses or modules that they are involved in delivering or assessing.
* For Trainers, demonstrated achievement of TAE40110 Certificate IV in Training and Assessment or a diploma or a higher-level qualification in adult education, or demonstrated equivalent competencies to the two qualifications required;

- For Assessors, demonstrated achievement of at least the assessor competencies (TAEASS401, TAEASS402 and TAEASS403) from the TAE40110 Certificate IV in Training and Assessment or, demonstrated equivalent competencies;
- An individual who is not a trainer or assessor can be employed to work under the supervision of a trainer provided:
    - They do not determine assessment outcomes
    - They have demonstrated vocational competencies at least to the level of those being delivered and assessed;
    - They have industrial and / or workplace experience and skills that are current and relevant to the particular courses or modules that they are involved in delivering or assessing.
    - They hold one of the following Skill Sets, TAESS00007, or TAESS00008, or TAESS00009 or, demonstrated equivalent competencies
    - The RTO ensures the training and assessment complies with Standard 1
    - The RTO puts in place the level of supervision required to ensure the training and assessment complies with Standard 1
    - The RTO implements any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence to ensure the training and assessment complies with Standard 1
    - The RTO ensures that trainers providing supervision, monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision

Training environment

Sydney Global College will meet the following minimum training environment standards:

- Comply with all laws relevant to the operation of training premises including occupational health and safety, equal opportunity, anti-harassment, privacy and fire safety regulations;
- Meet appropriate building regulations;
- Provide a safe, secure and healthy environment for staff and students;
- Ensure that training premises are of adequate size and have adequate heating, cooling, lighting and ventilation;
- Ensure that training facilities, equipment and other resource materials are adequate for the Scope of Registration and are maintained in good order and repair;
- Provide support that encompasses academic and non-academic support and referral.

Awards and statements of attainment

Awards and Statements of Attainment will be issued to students who satisfactorily complete courses or units within the Scope of Registration in the form of certificates containing the following information:

- name and registered number of the College as shown on the Certificate of Registration;
- name of the person receiving the qualification;
- name of the course or units as shown on the Scope of Registration;
- a certificate number;
- the Nationally Recognised Training Logo;
- the appropriate Australian Qualifications Framework statement;
- identification of the recognition authority;
- date issued; and
- authorised signatory of Sydney Global College.

The College will identify units of competency achieved on any certification issued in relation to courses based on national competency standards.

The College will accept and mutually recognise the qualifications and Statements of Attainment awarded by any other registered training organisation

Marketing and recruitment

Sydney Global College will:

- Market courses within the Scope of Registration with integrity, accuracy and professionalism, avoiding vague and ambiguous statements. No false or misleading comparisons are to be drawn with any other provider or course;
- Not state or imply that courses other than those within the Scope of Registration are recognised by the registering authority;
- Recruit students at all times in an ethical and responsible manner consistent with the requirements of courses;
- Ensure that application and selection processes are explicit and defensible and equity and access principles are observed;
- Complete a written agreement with students which contains details of all fees, charges and conditions where applicable.

Student information

Sydney Global College will advise prospective students of:

- its Scope of Registration;
- application processes and selection criteria;
- fees and costs involved in undertaking training;
- fee refund policy;
- qualifications to be issued on completion or partial completion of courses;
- competencies to be achieved during training;
- assessment procedures including recognition of prior learning;
- literacy and numeracy requirements;
- complaint and appeals procedure;
- staff responsibilities;
- facilities and equipment;
- student support services.

Access and equity operating principles

Sydney Global College:

- Aims to ensure that access to employment and training is available, regardless of gender, socioeconomic background, disability, ethnic origin, age or race;
- Training services are delivered in a non-discriminatory, open and respectful manner;
- Staff are appropriately skilled in access and equity issues, including cultural awareness and sensitivity to the requirements of clients with special needs;
- Facilities are updated to provide reasonable access to clients of all levels of mobility, and physical and intellectual capacity within the limitations of the facilities currently available. Students who have specific access requirements that cannot be met will be advised to identify another provider that meets their access requirements;
- Conduct client selection for training opportunities in a manner that includes and reflects the diverse client population;
- Actively encourages the attendance of clients from traditionally disadvantaged groups and specifically offers assistance to those most disadvantaged;
- Provides culturally inclusive language, literacy and numeracy advice and assistance that assists clients in meeting personal training goals;
- Is accountable for its performance in adhering to the principles of this policy, and welcomes feedback as part of its quality improvement system;
- Staff and students are required to comply with access and equity requirements at all times.

If you have any suggestions as to how we can improve our performance with respect to access and equity, or if you would like further information on anything included in this policy, please contact the Student Services & Administration Manager.

Student code of behaviour

The Student Code of Behaviour requires the following rights and expectation to be respected and adhered to at all times.

- The right to be treated with respect from others, to be treated fairly and without discrimination, regardless of religious, cultural, racial and sexual differences, age, disability or socio-economic status;
- The right to be free from all forms of intimidation;
- The right to work in a safe, clean, orderly and cooperative environment;
- The right to have personal property (including computer files and student work) and the College property protected from damage or other misuse;
- The right to have any disputes settled in a fair and rational manner (this is accomplished by the Complaints and Appeals Procedure);
- The right to work and learn in a supportive environment without interference from others;
- The right to express and share ideas and to ask questions;
- The right to be treated with politeness and courteously at all times;
- The expectation that students will not engage in copyright breaches, cheating or plagiarism;
- The expectation that students will submit work when required;
- The expectation that students will at all times meet the requirements, terms and conditions contained in the Student application and enrolment form including payment of fees.
- The expectation that students will attend all required classes and assessment as part of the requirement to progress through the course satisfactorily and complete the course in within the time frame notified in the Student application and enrolment form.

There are consequences for non-compliance with the Student code of Behaviour. These are detailed in the student behaviour procedure.

Assessment policy

What is competency?

Competency involves the specification of skills and knowledge and their application to a particular standard of performance required in the workplace. Aspects of work performance included in this concept involve:

- Performance at an acceptable level of technical skill;
- Organising one's tasks;
- Responding and reacting appropriately when things go wrong; and
- Transferring skills and knowledge to new situations and contexts.

Standards are statements of the required workplace levels of performance.

Assessment

Assessment is the process of collecting evidence and making judgements on the extent and nature of performance and other requirements, as described in a set of standards, or learning outcomes, resulting in a judgement of whether or not competency has been demonstrated.

Effective and objective assessment is critical to the successful implementation of competency standards in the workplace and in education. This is the judgement of performance and knowledge against the relevant industry competency standards.

Assessment is carried out by the comparison of a candidate's evidence of skills and knowledge, against the requirements of the Standards.

Underlying principles of assessment

For an effective assessment system in a competency environment, some basic principles must apply.

Validity

The assessments actually assess what they claim to assess and what they have been designed to assess.

Validity of assessment is achieved when:

- Assessors are fully aware of what is to be assessed, as indicated by the standards of competence, including clearly defined performance criteria;
- Appropriate evidence is collected from activities that can be clearly related to the units of competency.

Authenticity

- The evidence collected is authentic - that is, it is actually derived from valid sources and is directly attributable to the individual.

Reliability

Reliable assessment uses methods and procedures that ensure that the competency standards are interpreted and applied consistently from person to person and from context to context.

The following are important to ensure that assessment produces consistent outcomes:

- Clear, unambiguous, well documented assessment procedures and competency standards;
- Clear, consistent and specific assessment criteria;
- Effectively trained, briefed and monitored assessors;
- Adequate assessors across industries and a hierarchy of assessment which ensures a quality outcome; and
- Assessment is carried out within a system flexible enough to cope with multiple and diverse forms of evidence.

Consistency

The assessment system must ensure that evidence collected and provided for judgement is consistent across the range, without undue reliance on any small number of select workplace contexts or projects.

Currency

Under an effective system, assessment evaluates whether or not the individual's skills and knowledge are current and can be applied in today's workplace. As a general rule, competencies that have not been demonstrated within the past 3 years are not usually accepted as "current". However, an assessor, under some circumstances may make exceptions to the specified period.

There may be specific situations where individual skills have not been directly applied for a longer period, but these skills are in fact still current for the individual. In cases such as this, evidence from earlier periods may be admissible, and assessed for currency, within an appropriately flexible assessment system.

Sufficiency

Evidence of competency should be sufficient to cover all the elements, performance criteria and required range of variables in the standards against which assessment is to be carried out.

A tendency of many candidates is to provide more (or less) evidence than is actually required to prove competency against the standards. An effective assessment system ensures that candidates are clearly advised regarding the amount and form of evidence, which is sufficient to prove competency. This should avoid the situation where masses of evidence are provided, requiring assessors to spend more time than necessary per candidate, or too little evidence, making it difficult to judge competence.

Flexibility

Every portfolio or set of candidate evidence is unique. Each candidate will identify and develop his or her own specific set of evidence to prove competency against the standards. This set will be based on the workplace experience of the candidate and will comprise diverse types and forms of relevant and appropriate evidence.

Assessors must be capable of taking a flexible approach to the assessment of evidence. Clearly, this approach must always take time and cost into account - both to ensure the best use of assessor time and from the viewpoint of the candidate and his or her employer.

An assessment system must evaluate the scope of knowledge and skills covered by the criteria - both performance (skill) and underpinning knowledge & understanding.

Fairness and Equity

An assessment system and its processes must not disadvantage any person or organisation. All eligible candidates must be guaranteed access to assessment, which does not discriminate on any basis. Assessment guidelines must include an approach for working with candidates who have special needs.

To achieve these principles, the assessment system must exhibit the following characteristics:

- The standards, assessment processes and all associated information are straight forward and understandable;
- The characteristics of potential candidates are identified, to enable all potential assessment issues to be identified and catered for;
- The chosen processes and materials within the system of assessment do not disadvantage candidates;
- An appropriate and effective review and dispute resolution mechanism is in place to investigate, examine and redress any issue of unfairness or disadvantage identified, involving access, assessment, certification or any other related issue; and
- Where potential disadvantages are identified, the system is amended to avoid or counter them, or appropriate steps taken to overcome them including reassessment if required.

Assessors

The role of an assessor is to objectively assess and judge a candidate's evidence against a set of standards. In order to do this effectively, an assessor must have a sound knowledge of, and be skilled in, the relevant industry area. In addition, the assessor must have acknowledged competency in assessment itself and hold an appropriate training and assessment qualification or equivalent.

An assessor must:

- Interpret and understand the criteria;
- Ensure that evidence meets the standards;
- Ensure that evidence is valid, authentic, reliable, consistent, current and sufficient; and

- Use expertise to make fair and objective judgements.

The training and ongoing professional development of assessors must include such areas as:

- Roles, responsibilities and ethics;
- Procedural and administrative duties;
- Performance and knowledge evidence gathering and presentation;
- Interpretation and usage of standards;
- Selecting and using appropriate methods of assessment; and
- Requirements regarding processing and recording of results, progress and feedback.

It is crucial that assessors always understand and practise fair, objective, unbiased and flexible assessment processes.

Forms of evidence

In general, basic forms of skills evidence include:

- Direct performance evidence - current or from an acceptable past period - from:
    - extracted examples within the workplace;
    - natural observation in the workplace; and
    - simulations, including competency and skills tests, projects, assignments
- Supplementary evidence, from:
    - oral and written questioning;
    - personal reports; and
    - Witness testimony.

Appropriate and valid forms of assessment utilised for both skills and knowledge may include:

- Evaluation of direct products of work;
- Natural observation;
- Skill tests, simulations and projects;
- Evaluation of underpinning knowledge and understanding;
- Questioning and discussion; and
- Evidence from prior achievement and activity.

Candidates with special needs

One fundamental principle of an assessment system is that each candidate must have access to fair and open assessment. Candidates with special needs should be offered the same opportunities as any other candidate.

As special needs extend to more than identify physical or learning difficulties, an assessor will also need to consider the best approach when dealing with candidates with needs such as low literacy, lack of confidence or non-English speaking background.

An assessor must take special needs into consideration from the planning stage onwards and adopt particular assessment methods as appropriate. Depending on any specification given in the standards, the assessor may be able to accept alternative evidence from a candidate with special needs.

If there is uncertainty, the assessor should call on other assessors or a verifier for assistance and guidance, as required. In such a case, the situation must be fully documented, with appropriate feedback being provided to the candidate at all stages.

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

Reasonable adjustment

To meet the needs of all learners' adjustments can be made to the way assessments are conducted but not to the requirements of the assessment. The purpose of these adjustments is to enhance fairness and flexibility so that the specific needs of students can be met.

Examples of reasonable adjustments

- providing additional time for student to practice the assessment tasks
- presenting questions orally for students with literacy issues
- asking questions in a relevant practical context
- adapting machinery and equipment to make it more easily used
- presenting work instructions in diagrammatic or pictorial form instead of words and sentences
- simplifying the design of job tasks

It is the responsibility of each assessor to assess student needs and make whatever reasonable adjustments are practicable to maximise a students' opportunity to demonstrate their competence. Assessors may also consider contacting their colleagues or their supervisor to assist in the development of reasonable adjustments to the assessment requirements of this unit.

Plagiarism and cheating

Plagiarism is a form of cheating. It is taking and using someone else's thoughts, writings or inventions and representing them as your own. Plagiarism is a serious act and may result in a students' exclusion from a unit or a course. When students have any doubts about including the work of other authors in their assessments, they must consult with their trainer to discuss the matter. The following list outlines some of the activities for which a student can be suspected of plagiarism or cheating:

- Presenting any work by another individual as one's own unintentionally
- Handing in assessments markedly similar to or copied from another student.
- Presenting the work of another individual or group as their own work.
- Allowing another student to copy your work
- Handing up assessments without the adequate acknowledgement of sources used, including assessments taken totally or in part from the internet.

Legitimate cooperation between students on assignments is encouraged, since it can be a real aid to understanding. It is legitimate for students to discuss assignment questions at a general level, provided everybody involved makes some contribution. However, students must produce their own individual written solutions. Copying someone else's work is plagiarism, and is unacceptable.

Copyright

Students must be careful when photocopying the work of others. The owner of the material may take legal action against students of the college if the owner's copyright has been infringed. Students are allowed to do a certain amount of photocopying for research or study purposes. Generally, 10% or one chapter of a book is acceptable, where the participant is studying with, or employed by, an educational institution.

Feedback

Where students are assessed as not competent they will be provided with additional feedback on their assessment outcome to assist in achieving the required performance standard on reassessment.

Reassessment

Students who are dissatisfied with their assessment outcome may apply for reassessment by contacting their trainer or assessor.

Students are entitled to a maximum of two assessment attempts for each unit.

If after three assessment attempts students competence is "not yet competent" they will be required to repeat the unit and pay any fees associated with repeating the unit.

Not attending for an assessment will be counted as one assessment attempt for each occurrence unless:

a)   the student can provide a certificate from a registered medical practitioner indicating that the student was medically unable to attend the assessment; or

b)   the student can provide independent evidence of exceptional compassionate circumstances beyond the students control, such as serious illness or death of a close family member to explain the non- attendance at the assessment

Simulation for assessment

Simulation is a form of evidence gathering that involves the candidate in completing or dealing with a task, activity or problem in an off-the-job situation that replicates the workplace context. Simulations vary from recreating realistic workplace situations such as in the use of flight simulators, through the creation of role plays based on workplace scenarios to the reconstruction of a business situation on a spread sheet. In developing simulations, the emphasis is not so much on reproducing the external circumstance but on creating situations in which candidates are able to demonstrate:

a)   technical skills;

b)   underpinning knowledge;

c)   generic skills such as decision making and problem solving;

d)   workplace practices such as effective communication.

Contextualisation policy

The term 'contextualising' is used in a number of ways. In the current context contextualising is the activity undertaken by a teacher to make units of competency meaningful to the learner and relevant to the learner context. This involves incorporating industry or enterprise work practices into the teaching and learning process and the information and documents used in the teaching and learning process.

Steps in contextualising

This guide provides steps that may be of help, however keep in mind that effective contextualising is not always a step-by-step process.

Step 1: Be familiar with your unit/s of competency

- Refresh your knowledge of the unit/s of competency.
- Go beyond the elements and performance criteria.
- Use the range statement to look at each aspect listed and the examples provided, to choose what is relevant to your learners and learning setting.
- Use the evidence guide to note the variety of products and processes acceptable as evidence of competence. Choose those that are relevant to your learners and learning setting. Note the essential skills and knowledge required by your learners.
- Review the key competencies and/or employability skills.

Step 2: Get to know your learners

- Gather information about your group of learners.
- Find out what they already know.
- Identify the gaps in that knowledge and skill.
- Find out their motivation for learning.
- Take into account the preferred learning style of your learners.
- Learn about the extent of your learners' work experience.
- Acquire a general understanding of your learners' educational, cultural and language background.
- Discover what your learners know about competency-based training and assessment.
- Find out if there are any general barriers to their learning, for example, problems at home, financial issues, work culture issues or issues of self-esteem.

Step 3: Take account of the learning setting

- Use the learning setting to your advantage.
- The learning setting should inform the strategies and activities you use to contextualise. Consider such aspects as physical setting, access to workplace expertise and knowledge of the organisation and its learning culture. For example, if you are in an institutional setting with traditional classrooms and semester long teaching periods, you can develop extended case studies to provide work simulations that emulate the real world of work. Or if you are teaching in a large organisation, you do not need to simulate the world of work. Use the organisation's policies, standard operating procedures and actual work problems.

Step 4: Develop learning activities

To contextualise your strategies and activities, combine your understanding and knowledge of:

- the unit/s of competency
- the particular learners
- the particular learning setting
- the adult learning approach
- good teaching practices.

Refer to the Contextualising Teaching and Learning document for information and examples of contextualising learning and assessment.

College records description, responsibility and retention requirements

The following records **must** be maintained to comply with the VET Quality Framework.

Record	Description	Responsibility	Type of record	Retention
Employer feedback questionnaire	Employer feedback forms	Director of Studies	Filed paper copy	Retain until results are tabulated and acted on
Employer feedback tabulation sheet	A document to record the collation of data collected from the employer feedback questionnaire, summarise findings and record corrective actions	Director of Studies	Filed paper copy	Retain until tabulated results are acted on
RTO agent agreement	A formal written agreement between the RTO and recruiting agents approved and appointed by the RTO	Student Services & Administration Manager	Electronic documents and agents file	Continuous for all active agents. Retain current and previous versions.
RTO agent application form	Agent application form to be completed as part of the agent appointment process	Student Services & Administration Manager	Electronic documents and agents file	5 years
RTO agent review checklist	Instrument for conducting a review of agent activity	Student Services & Administration Manager	Electronic documents and agents file	5 years
RTO assessment review guide	A document that guides an assessment review panel through the moderation process and records the conclusions and recommendations of the review panel	Director of Studies	Electronic documents	2 years
RTO assessment tool checklist	Tool for the College to validate assessment tools	Director of Studies	Paper document held by Director of Studies	2 years
RTO assessment tool review questions	Questions for the College to validate assessment tools	Director of Studies	Paper document held by Director of Studies	2 years
RTO assessment validation schedule	A five-year schedule of assessment validation activities for all units offered by the Foundation	Director of Studies	Electronic document	Continuous
RTO assessor review form	A form used by members of an assessment panel to record their individual evaluation of a completed assessment.	Director of Studies	Electronic document	2 years

Record	Description	Responsibility	Type of record	Retention
RTO conditional employment acceptance form	A form to be signed by a potential employee when they have conditionally accepted an employment offer	Student Services & Administration Manager	Paper document held by Director of Studies	Duration of employment
RTO continuous improvement schedule	Annual schedule of continuous improvement activity dates as planned by the College	Chief Executive Officer	Electronic document	2 years
RTO Critical incident report form	A form for recording the details, actions and conclusion of a critical incident,	Chief Executive Officer	Electronic document	2 years
RTO electronic student database	A record of student results and certification issued must be retained for in electronic format and must include at least the following fields: • Student Surname • Student given name • Student last known postcode • Student date of birth • Enrolment date • Qualification / Course code and title • Unit codes for each unit commenced • Unit outcomes for each unit commenced • Credential awarded (Statement of Attainment, Certificate, Diploma) • Date credential issued • Credential number	Student Services & Administration Manager	student database is axcelerate http://www.admin.axcelerate.com.au axcelerate is a cloud based student database. Data is located on a secure server and backed up for disaster recovery. Backup copy held off site.	30 years.
RTO management meeting agenda	A template indicating the necessary agenda items for the management meeting	Chief Executive Officer	Electronic records	Prepared for each meeting and retained for 2 years
RTO management meeting minutes	A record of the outcomes of each management meeting	Chief Executive Officer	Electronic records	Prepared following each management meeting and retained for 2 years

Record	Description	Responsibility	Type of record	Retention
RTO marketing review guidelines	A document describing the requirements for marketing material to meet the VET Quality Framework. To be used when reviewing marketing material	Student Services & Administration Manager	Electronic document	Continuously
RTO memorandum of understanding	A document outlining third party and broker arrangements and responsibilities	Chief Executive Officer	Paper document held by Chief Executive Officer	Continuously for the duration of any third party arrangement
RTO organisation chart	A chart indicating the formal organisation structure	Chief Executive Officer	Electronic records	Continuously
RTO responsibility matrix	A document which accompanies the RTO memorandum of understanding and which outlines the assignment of compliance activities and methods of monitoring adherence to compliance requirements	Chief Executive Officer	Paper document held by Chief Executive Officer	Continuously for the duration of any third party arrangement
RTO RPL Assessment Form	A form used to record RPL evidence identified or supplied in addition to evidence recorded in the College assessment tools	Student Services & Administration Manager	Paper document kept with the student assessment records.	Length of enrolment plus 2 years.
RTO scope of registration	The qualifications, courses and units of competency that the College is approved to deliver and assess	Student Services & Administration Manager	The current scope is available on the National Register of VET http://training.gov.au/Home/Tga	Continuous
RTO student file checklist	A checklist to direct and record student file checks	Student Services & Administration Manager	Electronic records and student file	Continuous
RTO student training plan template	A template for creating individual training plans for each student	Director of Studies	Paper document held by Director of Studies	2 years
RTO T & A Strategy Review Questions	Tool for administering review questions and collecting improvement suggestions for training and assessment strategies	Director of Studies	Paper document held by Director of Studies	2 years
RTO training and assessment strategy template	A document for describing key delivery and assessment strategies for delivering a qualification / course	Director of Studies	Electronic records	Continuous

Record	Description	Responsibility	Type of record	Retention
RTO VET Quality Framework checklist	Checklist for recording annual internal VET Quality Framework reviews	Student Services & Administration Manager	Electronic documents	5 years
Staff competency mapping form (sample and template)	A document detailing staff competency to train and assess units.	Student Services & Administration Manager	Staff file	Duration of employment
Staff feedback questionnaire	Staff feedback collection tool	Director of Studies	Filed paper copy	Retain until results are tabulated and acted on
Staff feedback tabulation sheet	Staff feedback collation tool	Director of Studies	Filed paper copy	Retain until tabulated results are acted on
Staff induction checklist	Checklist of staff induction information for VET Quality Framework compliance	Student Services & Administration Manager	Electronic records and staff file	Duration of employment
Staff qualification checklist	A checklist to record the validation of staff resumes and qualifications conducted prior to employment	Student Services & Administration Manager	Electronic records and staff file	Duration of employment
Staff review and professional development record	A tool for recording staff professional development activities and annual performance review	Student Services & Administration Manager	Electronic records and staff file	Duration of employment
Staff supervision recording form	A record of supervision activities maintained by the qualified supervisor	Director of Studies	Electronic records and staff file	Duration of employment plus one year.
Student appeal form	Form for submission of an appeal by a student	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years.
Student agreement	The written agreement between Sydney Global College and the student	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years.
Student application form	Tool for collecting essential application information about students (located in the information handbook)	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years
Student assessment declaration	A declaration which must be completed and attached to each assessment activity completed by a student.	Trainers	Paper document kept with the student assessment records.	Length of enrolment plus 2 years.
Student attendance warning letters	A series of escalating warning letters sent to students regarding unsatisfactory attendance	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

Record	Description	Responsibility	Type of record	Retention
Student behaviour final warning letter	Final warning letter sent to students who have breached the Student Code of Behaviour 3 or more times	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years
Student behaviour warning letter	The first letter sent to students regarding a breach of the Student code of Behaviour	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years
Student competency record	A document that records the assessment tasks completed by a student and the final assessment decision for a unit of competency. (Located in the assessment tools purchased or developed by the RTO)	Trainers whilst a student is undertaking a unit and Student Services & Administration Manager thereafter	Located in the assessment tool for each unit. Electronic records and student file	Length of enrolment plus 2 years
Student complaint form	Form for submission of a complaint by a student	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years.
Student complaints Register	A meta record of student complaints and appeals recording student details and progress of the complaint resolution	Director of Studies	Secure electronic documents	Continuous
Student contact details form	Form for a student to notify the College of change of contact details	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years.
Student course progress warning letters	Warning letters sent to students regarding course progress	Student Services & Administration Manager	Electronic records and student file	Length of enrolment plus 2 years
Student daily attendance record	A record of student attendance at training sessions e.g. a class roll or a Trainer visit record	Trainer during delivery in the unit and Student Services & Administration Manager thereafter	Hard copy maintained by Trainers	Length of enrolment plus 2 years
Student deferral or cancellation application form	A form to enable student to apply for deferral or cancellation of their course	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years
Student deferral cancellation or suspension warning letter	A warning letter to student indicating that Sydney Global College is about to suspend or defer their enrolment.	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years

Record	Description	Responsibility	Type of record	Retention
Student fee record	A record of fees paid for training and assessment services, normally a billing or accounting system.	Student Services & Administration Manager	Electronic records and student file	5 years
Student feedback questionnaire	Student feedback forms	Director of Studies	Filed paper copy	Retain until results are tabulated and acted on
Student feedback tabulation sheet	A document to record the collation of data collected from the student feedback questionnaire, summarise findings and record corrective actions	Director of Studies	Filed paper copy	Retain until tabulated results are acted on
Student intervention strategy	A template for recording the implementation of the intervention strategy with a student	Director of Studies	Electronic records and student file	Continuous Retain current and previous versions.
Student letter of release application form	A form for requesting a letter of release which is to be used by students who have not yet completed 6 months of study in their principal course and are wanting to transfer to another provider	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years
Student letter of release approval	A letter to a student approving a request for release from the course which is applicable for students who have not yet completed 6 months of study in their principal course and are wanting to transfer to another provider	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years
Student letter of release refusal	A letter to a student refusing a request for release from the course which is applicable for students who have not yet completed 6 months of study in their principal course and are wanting to transfer to another provider	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years
Student mutual recognition application form	Mutual recognition application completed by students	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years
Student offer letter	A letter making a formal offer of a place to a student	Student Services & Administration Manager	Electronic records and student file	Continuous Retain current and previous versions.

Record	Description	Responsibility	Type of record	Retention
Student qualification application form	A form to be used by students applying for the issue of a completed qualification.	Student Services & Administration Manager	Electronic records and student file	2 years
Student records request form	A form for students to request access to their own records or copies of transcripts or awards	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years
Student refund application form	A form for a student to apply for a refund of fees.	Student Services & Administration Manager	Electronic records and student file	5 years
Student refund record	A record of refunds granted. Can be integrated with fee register, normally a billing or accounting system.	Student Services & Administration Manager	Electronic records and student file	5 years
Student RPL application form	RPL application completed by students	Student Services & Administration Manager	Electronic records and student file	Duration of enrolment plus 2 years

Application and enrolment [National Code Part B Standards 2 & 7]

1.0 Purpose

The purpose of this procedure is to outline the system for students follow when making application and enrolling with Sydney Global College.

2.0 Responsibility

The Student Services & Administration Manager is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements

3.0 Requirements (Policy)

Sydney Global College must

- Standard 5 of the standards for Registered Training Organisations 2015 requires that each learner is properly informed and protected.
- not knowingly enrol a student wishing to transfer from another provider before the student has completed six months of his or her principal course except in circumstances outlined in Standard 7. These restrictions also apply to courses taken before the principal course in a package of courses
- not actively recruit a student where this clearly conflicts with its obligations under Standard 7
- not knowingly enrol a student prior to the student completing six months of his or her principal course except in certain circumstances (see the Student Transfer Procedure)
- provide applicants with information that will enable them to make informed decisions about their studies in Australia
- have documented procedures for assessing applicants' English proficiency and qualifications and they must implement these procedures
- supply information about the availability of course credit
- inform applicants of the modes of study through which the course may be offered
- list the grounds on which the students' enrolments may be deferred, suspended or cancelled
- give applicants a description of the ESOS framework prior to enrolment
- supply information about indicative course related fees, including the potential for fees to change
- supply relevant information on accommodation options

Where applicants plan to bring school-aged dependants with them, Sydney Global College must inform them of Australia's schooling obligations and options, including the fact that they may have to pay school fees.

4.0 Definitions

N/A

5.0 Method (Procedures)

5.1 Students who have enrolled or have CoEs from another provider must not be enrolled until they have completed the first six months of their principal course or have a letter of release from the provider of the principal course. The methods for checking if a student is enrolled or has a CoE from another provider include:
- Asking the student
- Checking the student visa
- Checking with the Department of Education and the Department of Immigration and Border Protection
- Flagged on PRISMS when Sydney Global College attempts to issue a CoE.

All the above methods should be applied to each student attempting to enrol onshore. If there is any doubt about the student's status then do not provide the student with an offer letter or attempt to enrol them.

5.2   All enquiring students must be provided with a Student Prospectus, a student application form and the ESOS Framework.

5.3   Applicants must complete the student application form, sign and date where required and attach **verified** evidence of qualifications, work experience (if relevant) and IELTS test results.

5.4   Offers must not be made to students who will be less than 18 years of age at the proposed commencement date.

The Student Services & Administration Manager must review the student applications and determine if an offer should be made on the basis of the entry requirements for the qualification. To be accepted the applicant must at least meet the academic entry requirements and the minimum IELTS requirement.

- Check the IELTS statement comes from an accredited IELTS testing authority – website
- Check evidence of age – front page of the passport
- Check that the rest of the application form has been completed
- Check that the student has signed and dated the application

5.5   If the applicant's educational qualifications do not meet Sydney Global College's admission requirements, other factors may be considered at the discretion of Sydney Global College. Verified evidence of these other factors must be included with the application. These other factors may include:

- Mature age, and or proof of being18 years or older at the proposed date of commencement
- Work experience,
- Attitude and aptitude,
- Previous academic results,
- Attendance rate in the previous college,
- Ability and skills to function in an academic environment,
- Possibility to succeed in his/her academic endeavours

5.6   The entry requirements can be assessed using the Sydney Global College Academic Mapping Guide to align overseas qualifications.

5.7   Having arrived at an admission decision, the English language skills (language and literacy) will be assessed. If student has a satisfactory IELTS score (listed under entry requirements), the applicant will be offered a place in the chosen course.

5.8   If an applicant cannot produce a satisfactory IELTS score, and there are doubts about the English language skills to cope in an academic environment, the applicant will be advised to enrol in an English (ESL or ELICOS) course for an appropriate duration until the student achieves an IELTS score of required for entry as listed in the Student Prospectus

5.9   IELTS testing may not be required where an applicant clearly has the required English language skills. The application of this rule will be on a case-by-case basis and in accordance with the English language requirements that apply to the visa eligibility for the country assessment level published by the Department of Immigration and Border Protection. Any evidence supplied in support of an application under this rule would require original copies of reliably authenticated evidence. Generally an IELTS test will not be required in the following situations:

- Students educated in an English speaking country
- Students who have completed the last two years of school in an English language speaking course
- Students who have completed at least six months of a Certificate IV level qualification in Australia
- Students have completed an alternative and equivalent test to the required level, for example an English Placement Test.

5.10   Where an offer is to be made to an applicant the Student Services & Administration Manager must complete and sign and date Part E of the student application form.

Once an offer has been approved by the Student Services & Administration Manager an offer letter must be prepared and despatched to the student accompanied by a student agreement. The student agreement must be completed and returned to Sydney Global College. At the same time an Electronic Confirmation of Offer (CoE) must be generated on PRISMS. The CoE must be prepared in accordance with the requirements of the PRISMS User Guide. **There must be a CoE issued for each qualification that the student is going to be enrolled in and for which an award will be issued if the student is successful.**

5.11   Applicants wishing to accept the offer must pay the fee requested in the letter of offer, complete the written agreement and send it to Sydney Global College. Once the completed written agreement and the fee is received (and cleared by the bank) an Electronic Confirmation of Offer will be generated and sent to the Australian Student Visa issuing centre to facilitate the issuing of a student visa.

5.12   The completed written agreement must be reviewed and accepted by the Student Services & Administration Manager. Where a written agreement is to be accepted by Sydney Global College the Student Services & Administration Manager must sign and date the appropriate section on the student agreement.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Student Enrolment Induction Process

Step 1 – Student enquiry

- Via Website or agent are provided pre-enrolment information including Student Handbook and Course Brochure
- Obtains an Application/Enrolment form from Agent or Website
- Agent to forward student Application/Enrolment form
- Student submits Application/Enrolment form

Step 2 – Response to Enquiry

- Receives Application/Enrolment form
- Raise initial invoice for $200, and forwards to the student via email

Step 3 – Confirm Initial Payment

- Confirm receipt of $200
- Send Letter of Offer, Invoice for tuition fees including other enrolment fees and with Student Agreement Form

Step 4 – Acceptance of Enrolment

- Receipt of completed Student Agreement (including IELTS and High School Cert etc) and completed Provider Acceptance Section of Student Agreement form
- Receipt for payment of fees

Step 5 – Confirmation of Enrolment

When all documentation and payment have been received, send to the student:
- PRISMS Confirmation of Enrolment (eCOE)
- Letter confirming course commencement details
- Copy of Tax Invoice (Paid)

Step 6 – Student to:

Apply for Student Visa (subclass 500) on receipt of the PRISMS eCOE

If the student's Visa is unsuccessful then a full Refund of the Fees excluding the $200 will be refunded.

Student finalises Visa with Australian Immigration and makes travel & accommodation arrangements

Student sends to RTO completed Student Visa/Travel/Accommodation details form

Step 7 – Induction/Course Commencement

At induction confirming the following:

- Accommodation details, contact details including email, mobile number and next of Kin
- OSHC coverage
- Conduct culturally and age-appropriate orientation programs

Assessment of competencies

1.0   Purpose

The purpose of this procedure is to outline the system used to conduct assessments.

2.0   Responsibility

The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements

3.0   Requirements (Policy)

The method section defines the procedure used for conducting assessments. The method applies to assessments conducted for the purposes of national recognition in contexts only. Equally it applies to assessment only pathways, training and assessment pathways or Recognition of Prior Learning.

All assessment must:

- Meet all requirements of the Sydney Global College Assessment Policy;
- Comply with the Assessment Guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses;
- Lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course.
- Comply with the principles of validity, reliability, fairness and flexibility;
- Provide for applicants to be informed of the context and purpose of the assessment and the assessment process;
- Where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;
- Involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained;
- Provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;
- Be equitable for all persons, taking account of cultural and linguistic needs; and
- Provide for reassessment on appeal

4.0   Definitions

N/A

5.0   Method (Procedures)

Establish the assessment context

> The assessor establishes the context and purpose of the assessment by identifying the relevant competency standards, assessment guidelines and qualification framework, identifies the Sydney Global College support materials that have been purchased and developed to facilitate the learning and assessment process.

Prepare the candidate

> The assessor meets with the candidate to:

- Explain the context and purpose of the assessment and the assessment process
- Explain the Competency Standards to be assessed and the evidence to be collected

- Advise on self-assessment including processes and criteria
- Outline the assessment procedure, the preparation which the candidate should undertake, and answer any questions
- Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies
- Seek feedback regarding the candidate's understanding of the competency standards, evidence requirements and assessment process
- Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment
- Implement the College assessment plan.

Plan and prepare the evidence gathering process

The assessor must:

- Use the College assessment tools to gather sufficient and quality evidence about the candidate's performance in order to make the assessment decision
- Organise equipment or resources required to support the evidence gathering process
- Coordinate and brief other personnel involved in the evidence gathering process.

Collect the evidence and make the assessment decision

The assessor must:

- Establish and oversee the evidence gathering process to ensure its validity, reliability, fairness and flexibility
- Collect appropriate evidence and assess this against the Elements, Performance Criteria, Range Statement and Evidence Guide in the relevant Units of Competency
- Evaluate evidence in terms of the four dimensions of competency - task skills, task management skills, contingency management skills and job/role environment skills
- Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies
- Evaluate the evidence in terms of validity, consistency, currency, equity, authenticity and sufficiency
- Consult and work with other staff in the assessment process
- Record details of evidence collected
- Make a judgement about the candidate's competency based on the evidence and the relevant Unit[s] of Competency.

Provide feedback on the assessment

The assessor must provide advice to the candidate about the outcomes of the assessment process. This includes providing the candidate with:

- Clear and constructive feedback on the assessment decision
- Information on ways of overcoming any identified gaps in competency revealed by the assessment the opportunity to discuss the assessment process and outcome information on reassessment and the appeals processes.
- An opportunity for reassessment if appropriate or requested by the candidate

Record and report the result

The assessor must:

- Record the assessment outcome
- Maintain records of the assessment procedure, evidence collected and the outcome

- Provide signed and dated assessment outcomes to the Administrative assistant competencies are achieved for each unit
- Maintain the confidentiality of the assessment outcome

Review the assessment process

On completion of the assessment process, the assessor must:

- Review the assessment process
- Report on the positive and negative features of the assessment to those responsible for the assessment procedures
- Make suggestions (if necessary) on improving the assessment procedures to appropriate personnel in the College.

Participate in the reassessment and appeals process

The assessor must:

- Provide feedback and counselling to the candidate, if required, regarding the assessment outcome or process including guidance on further options
- Provide the candidate with information on the reassessment and appeals process
- Report any assessment decision that is disputed by the candidate to the Director of Studies
- Participate in the reassessment or appeal according to the policies and procedures of the College.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Advertising and Marketing [National Code Part B Standard 1]

Sydney Global College will ensure that marketing and advertising of Australian Nationally Recognised qualifications to prospective learners is ethical, accurate and consistent with its scope of registration.

This complies with:
− Standard 4 of the Standards for Registered Training Organisations 2015 requires that accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients;
− The conditions of use for the Nationally Recognised Training (NRT) Logo;
− Standard 1: Marketing information and practices, National Code of Practice for Providers of Education and Training to Overseas Students 2018

All staff with responsibility to prepare advertising and marketing materials are to be fully conversant with the requirements detailed in this document.

Authorisation
All advertisements and marketing material must be approved by the Chief Executive Officer before it is released. No staff member of Sydney Global College is authorised to approve the use of any advertisements or marketing material.

Advertisements and promotional information
Advertisements and promotional material used by Sydney Global College must uphold the integrity and reputation of Australia's education industry by ensuring the marketing of courses and services is not false or misleading. This is applicable for marketing that is used both domestically and internationally. The following guidelines are to be followed when preparing advertisements and promotional information.

Sydney Global College must:
− include a direct reference to Australian Consumer Law;
− only advertise those qualifications or units of competency that are listed as current on the Sydney Global College scope of registration;
− identify qualifications in advertising by their full code and title as they appear in the training package and not to represent these qualifications or units of competency in any other way;
− provide accurate information about the courses being advertised and the outcomes associated with those courses;
− provide accurate information about any work-based training a student is required to undertake as part of the course;
− provide accurate information about any prerequisites for entry to the course (including English language requirements applicable to overseas students);
− maintain a clear distinction between nationally endorsed training being offered and other training being offered by Sydney Global College;
− use the NRT logo only in accordance with the Standards for Registered Training Organisations, Schedule 4;
− identify Sydney Global College in any marketing material by its full RTO code (including CRICOS provider number) and legal name;
− clearly distinguish where training and assessment is being delivered on behalf of Sydney Global College by any third-party organisation;
− include details about any government funded subsidy or other financial support arrangements associated with the provision of training and assessment;

− monitor closely the advertising and marketing been provided by any third-party organisation on behalf of Sydney Global College.

Sydney Global College must not:
− provide false or misleading information in relation to course requirements when seeking to enter into a written agreement;
− provide any guarantees to learners about the successful completion of training or any employment outcome that is outside of the control of Sydney Global College;
− integrate or confuse in any way training that is nationally endorsed with training that is not accredited;
− refer to another person or organisation in any marketing material without obtaining prior consent and approval;
− recruit students if it conflicts with its obligations under Standard 7 (Overseas Student Transfer) of the National Code of Practice for Providers of Education and Training to Overseas Students 2018.
− provide approval for any third-party organisation to advertise on behalf of Sydney Global College unless it is appropriately specified with limitations within a written and signed agreement with the third party organisation;
− commit to securing migration or education assessment outcomes for overseas students

Marketing non-accredited training
When Sydney Global College is promoting the non-accredited training it must clearly distinguish between nationally recognised training and that which is not nationally recognised. The NRT logo must not be used in association with non-accredited training. Practices where nationally endorsed and non-accredited training are combined within a brochure or a website are to be avoided. Ideally it is best to separate these course offerings into different areas of our website in order to make a clear distinction.

Stationery, business cards, building signage, training resources
The NRT logo is not to be used on Sydney Global College products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, coffee cups, USB sticks and packaging around products. The NRT logo must also not be incorporated into or on the cover of learning and assessment resources supplied by Sydney Global College. This includes PowerPoint presentations.

NRT Logo Colours
Where the NRT logo is reproduced in one colour, it should preferably be in GREEN PMS 343 or, where this is not suitable, it may be reproduced in black. In some situations the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

Delivery of standalone units of competency
Where Sydney Global College has qualifications on its scope of registration, the core units of competency and the listed (named) elective units of competency may be offered and delivered as standalone units of competency. This means that whilst these units of competency are not individually listed on the Sydney Global College scope of registration, they are approved by ASQA for delivery as standalone units and Sydney Global College does not need to seek approval for the delivery of these units of competency. Sydney Global College is entitled to publish advertising that promotes these standalone units of competency as individual courses.

Informing learners of their rights and obligations
It is a mandated requirement within the Standards for Registered Training Organisations for Sydney Global College to inform learners prior to their enrolment about their rights and obligations, about the services to be provided and about the payment of fees, other charges and refund arrangements. Whilst this requirement relates to the marketing and advertising of training, it is addressed in policy arrangements detail within the Enrolment Policy provided within this policy manual.

Completion within the expected duration of study [National Code Part B Standard 8]

1.0   Purpose

1.1   The purpose of this procedure is to define the system used to monitor and manage course duration for each student.

2.0   Responsibility

2.1   The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and are aware of its application and implement its requirements

3.0   Requirements (Policy)

3.1   Students are required to complete their course within the expected duration of study as recorded on the CRICOS register unless the exceptional circumstances as listed in 3.4 of this procedure apply.

3.2   A full-time student load is planned as a minimum of 20 hours scheduled attendance per week however students may be engaged for less than this minimum requirement due to:
- credit transfer granted
- RPL granted
- partial provision by distance education or e-learning
- unavailability of key or prerequisite units at the time it is required

3.3   In each study period students must be studying at least one unit that is not by distance or online learning.

3.4   Registered provider must not deliver more than one-third of the units (or equivalent) of a VET course by online or distance learning.

3.5   Sydney Global College may extend the duration of the student's course **only** in the following exceptional circumstances:
- On medical grounds (a medical practitioner's certificate indicating the student is unable to attend class) and a deferment or suspension of study has been granted; or
- In exceptional compassionate circumstances beyond the students control, such as serious illness or death of a close family member (independent evidence of the exceptional circumstances is required) and a deferment or suspension of study has been granted.
- Where Sydney Global College is unable to offer a prerequisite unit at the time it is required and a deferment or suspension of study has been granted
- Where Sydney Global College is implementing an intervention strategy for students at risk of not meeting academic progress requirements
- Where Sydney Global College has approved the deferral of commencement of studies or the suspension of study.

3.6   Any extension to the duration of a student's course must be notified by Sydney Global College on PRISMS and if necessary a new CoE issued.

3.7   Any extension to the duration of a student's course, and the reasons for the extension must be recorded by Sydney Global College on the student's file

4.0   Definitions

4.1   Study period means one term of study

5.0   Method (Procedures)

5.1   At the time of initial enrolment each student will be furnished with a training program schedule which will identify the units required to be completed in each study period in order to complete the qualification within the normal duration as indicated on the CRICOS register

5.2   After the completion of each study period student results will be entered on the student database and a progress report generated for each student whose progress has fallen behind the training program schedule.

5.3   Each student identified as falling behind the training program schedule will have their program reviewed by the Director of Studies and modified in order to ensure they will complete within the expected duration. Strategies to be considered for achieving the outcome will include:

- Resitting assessments
- Undertaking additional units in subsequent study periods to "catch up" with their training program schedule.
- Optional holiday programs

5.4   A copy of the modified program and a written explanation of the need for the modified program will be provided to the student and placed on the student's file.

5.5   If a student's program cannot be modified so that they will complete within the expected duration of study as recorded on the CRICOS register they will be deemed to be at "at risk" of not meeting satisfactory course progress requirements and placed on an intervention strategy as documented elsewhere in the Course Progress and Intervention Strategy.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		

Compliance with legislative and regulatory requirements

1.0   Purpose

The purpose of this procedure is to define the system used to ensure compliance with Commonwealth and State legislative and regulatory requirements.

2.0   Responsibility

The Chief Executive Officer is responsible for the implementation of this procedure and to ensure that staff are aware of its application and implement its requirements

3.0   Requirements (Policy)

Registered training organizations must:

- Comply with relevant Commonwealth and State legislations and regulations
- Ensure staff and clients are provided with information about relevant Commonwealth and State legislation and regulations

Ensure that they have insurance and fee protection necessary to meet regulatory requirements and carry out its business

4.0   Definitions

In general terms relevant legislation and regulation refers to:

- Work Health and Safety and accident compensation - http://www.workcover.nsw.gov.au/
- National Vocational Education and Training Regulator Act 2011
- Commonwealth Privacy is not applicable to Sydney Global College as it applies to corporations with an annual turnover greater than $3m under the small business exemption arrangements.
- Student Identifiers Act 2014 http://www.comlaw.gov.au/Details/C2014A00036/Html/Text#_Toc391618973
- Commonwealth legislation and regulation governing the operation of Registered Training Organisations - Standards for Registered Training Organisations 2015
- The Australian Qualifications Framework governing the issue of testamurs - http://www.aqf.edu.au/
- Taxation legislation and regulation – www.ato.gov.au
- Fair Work Australia legislation and regulations - http://www.fwa.gov.au/
- Copyright - http://www.copyright.com.au/
- Education Services for Overseas Students legislation and regulation - https://internationaleducation.gov.au/Regulatory-Information/Pages/Regulatoryinformation.aspx
- The National Code of Practice for Overseas Students - https://internationaleducation.gov.au/Regulatory-Information/Education-Services-for-Overseas-Students-ESOS-Legislative-Framework/National-Code/Pages/default.aspx
- The Australian Student Visa Program administered by the Department of Immigration and Border Protection – www.border.gov.au
- Age Discrimination Act 2004 (Cwth)
- Disability Standards for Education 2005
- Disability Discrimination Act 1992
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Any other legislation or regulations identified as relevant to the College and the scope of registration.

4.1   Commonwealth Legislation and Parliamentary Documents are accessible at - http://www.comlaw.gov.au/

4.2   New South Wales Legislation and Parliamentary Documents are accessible at - http://www.legislation.nsw.gov.au

5.0   Method (Procedures)

Legislation and regulation

The CEO is to conduct a review of the requirements of relevant Commonwealth and State legislation and regulations annually and ensure that all the details remain correct and up-to-date.

Following the review, identify and implement relevant Commonwealth, State and Local Government Legislative and Regulatory requirements.

Ensure that all staff are aware of and implement relevant Commonwealth and State legislative and regulatory requirements. This will be accomplished by:

- Induction programs for staff
- Distribution of information to staff on a regular basis
- An annual staff appraisal which includes a re-induction to the relevant legislation and regulations which apply to Sydney Global College.

Ensure clients are aware of and implement relevant Commonwealth and State legislative and regulatory requirements. This will be accomplished by:

- Inclusion of information in the documentation provided to prospective students via the Sydney Global College Services web site.
- An orientation program for students
- Information posted on noticeboards which accessible to students

Insurance

5.1   Maintain a public liability insurance policy at all times

Maintain appropriate commercial insurance cover by:

- Identifying insurable risks
- Obtaining professional advice regarding required insurance
- Purchasing all necessary insurance cover as advised and determined necessary by the College
- Reviewing and renewing insurance cover annually

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Continuous improvement

1.0   Purpose

This procedure explains the continuous improvement actions implemented by the College which is undertaken to identify and manage risk for students and to improve the operation of the College.

2.0   Responsibility

The Chief Executive Officer is responsible for the implementation of this procedure and to ensure that staff are aware of its application and implement its requirements.

3.0   Requirements (Policy)

The College is required to use data to review and improve its learning, assessment, support and management services to clients.

3.1   Training organisations registered under the Australian Skills Quality Authority (ASQA) operate under the requirements of the VET Quality Framework. VET Quality Framework consists of below components:
- Standards for Registered Training Organisations 2015
- Financial Viability Risk Assessment Requirements
- Data Provision Requirements
- Australian Qualification Framework

4.0   Definitions

Improvement Action – is the action taken to correct the occurrence of non-compliance with policies and procedures, maintain compliance with the VET Quality Framework and improve outcomes for clients.

5.0   Method (Procedures)

Continuous Improvement Meetings

1.   Membership of the Continuous Improvement Group is comprised of the:
- Chief Executive Officer;
- Director of Studies;
- Student Services & Administration Manager;
- Compliance Consultant(s) can be requested to provide advice as required.

2.   Continuous improvement is the core management strategy of the College and covers all aspects of the operation of the College. All continuous improvement activities are recorded, tracked, assessed, amended, if appropriate and signed off as described in the rest of this procedure.

3.   Continuous improvement meetings are held monthly on the last Thursday of each month and will be given adequate time and priority to effectively address the agenda. The purpose of the continuous improvement meetings are to:
- Monitor implementation and effectiveness of continuous improvement activities
- Review the operations of the College and initiate change where it is required
- Plan for the future operations of the College
- Deal with other business which may arise
- Ensure compliance with legislative requirements.

4. Reports to each continuous improvement meeting will be made by the Chief Executive Officer, Director of Studies and Student Services & Administration Manager and will include information on continuous improvement activities and opportunities arising from:
    - Checking of staff files (Student Services & Administration Manager)
    - Checking of student files and records (Student Services & Administration Manager)
    - Collection and analysis of student feedback (Student Services & Administration Manager)
    - Collection and analysis of student feedback (Student Services & Administration Manager)
    - Implementation of the Quality Indicator System (Student Services & Administration Manager)
    - Review of the VET Quality Framework compliance (Student Services & Administration Manager)
    - Review of assessments (Director of Studies)
    - Review of the College scope of registration (Chief Executive Officer)
    - Review of staff performance and professional development (Student Services & Administration Manager)
    - Review of training and assessment strategies (Director of Studies)
    - Monitoring activities of, and interacting with, external stakeholders such as employers, ASQA, and Skills Councils. (Chief Executive Officer)

5. The continuous improvement meetings will initially use the pro-forma meeting agenda and minutes to direct its activities. It is envisaged that the components of the agenda and minutes will be further developed as the College becomes operational.

6. The process, frequency, tools, tracking and sign-off for each continuous improvement activity is documented below.

Course Management Meetings

7. Membership of the Course Management Group is comprised of the Director of Studies, and the training & assessment staff. Other College staff can be invited to attend by the Director of Studies when required.

8. Each course area will hold monthly meetings on the last Wednesday of each month and will be given adequate time and priority to effectively address the agenda of staff to address learning and assessment programs, assessment validation and continuous improvement of learning and assessment programs and resources.

9. Reports from these meetings will be made to the Continuous Improvement Group by the Director of Studies and will include information on continuous improvement activities and opportunities arising from:
    - Assessment validation activities
    - Stakeholder (students and staff) survey results
    - Module completion rates
    - Staff review and professional development
    - Monitoring activities of, and interacting with, external stakeholders such as employers, ASQA, and Skills Councils.

Check staff files

Process

10. Every 12 months check that staff files contain the following information:
    - Resume of employment and qualifications
    - Verified copies of all relevant qualifications, occupational licenses and professional memberships
    - A current induction checklist signed and dated within the last 12 months
    - An annual review and record of professional development activities

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

- Competency mapping such that there are competent people to train and assess all qualifications on scope as documented in strategies for training and assessment.

11. Check and confirm that, for all units they are mapped to train and assess, each staff member meets the qualification, competency and currency requirements of the relevant training package(s) and the Standards for Registered Training Organisations.

12. Ensures that the current industry skills of trainers and assessors have been validated by industry in the last 12 months.

13. Correct any omissions and errors

Tools

- None

Tracking

- Details of all corrections are discussed with the relevant staff

Sign-off

- Completion of the review of staff files is reported to the Continuous Improvement Group.

Check student files and records

Process

1. Every 12 months check a sample of student hard copy files to ensure they contain the following information:
   - Enrolment / application form / student agreement
   - Student RPL records, if applicable
   - Student Mutual Recognition records,
   - Student attendance records
   - Copies of any warning letters, counselling notes, refund applications, transfer applications, complaint records or any other document relevant to the student's time at the College
   - Competency sign off by trainers for each completed unit
   - Copy of awards or statements of attainment issued

2. Every 12 months check a sample of electronic student files to ensure they contain the same student details, module completion data and course completion data as the hard copy files

3. Correct any omissions or errors

4. Take appropriate corrective action with staff if required

Tools

- RTO student file checklist

Tracking

- Details of all corrections are discussed with the relevant staff

Sign-off

- Completion of the review of student files is reported to the Continuous Improvement Group.

Collect and analyse employer feedback on training and assessment strategies, assessment tools, trainer competency mapping and trainer currency

Process

5. Collect feedback using survey forms and telephone interviews

6. Tabulate employer feedback using the tabulation sheet

7. Review the tabulated data and document any improvement actions required on the tabulation sheet

8. Implement the improvement actions as directed by the Continuous Improvement Group

9. The Student Services & Student Services & Administration Manager will collate student feedback, issues raised by employer and informal complaints and report back at management meetings.

Frequency

- Collect employer feedback and analyse it once every quarter (March, June, September, December)

Tools

- Employer feedback questionnaires
- Employer feedback tabulation sheet

Tracking

- Required improvement actions are documented on the tabulation sheets
- Distribute the tabulated data and improvement actions required to relevant staff
- Report the required improvement actions to the Continuous Improvement Group
- Implementation of stakeholder feedback is recorded in the continuous improvement log
- Assess the effectiveness of actions and make amendments if necessary

Collect and analyse student feedback

Process

10. Collect student feedback using survey forms

11. Tabulate student feedback using the tabulation sheet

12. Review the tabulated data and document any improvement actions required on the tabulation sheet

13. Implement the improvement actions as directed by the Continuous Improvement Group

14. The Student Services & Administration Manager will collate student feedback, issues raised by students and informal complaints and report back at management meetings.

Frequency

- Collect student feedback and analyse it once every quarter (March, June, September, December)

Tools

- Student feedback questionnaires (includes questions on College facilities, services and support)
- Student feedback tabulation sheet

Tracking

- Required improvement actions are documented on the tabulation sheets
- Distribute the tabulated data and improvement actions required to relevant staff
- Report the required improvement actions to the Continuous Improvement Group
- Implementation of stakeholder feedback is recorded in the continuous improvement log
- Assess the effectiveness of actions and make amendments if necessary

Collect and analyse staff feedback

Process

1. Collect staff feedback using survey forms

2. Tabulate staff feedback using the tabulation sheet

3. Review the tabulated data and document any improvement actions required on the tabulation sheet

4. Implement the improvement actions as directed by the Continuous Improvement Group

5. The Student Services & Administration Manager will collate staff feedback, issues raised by staff and informal complaints and report back at management meetings.

Frequency

- Collect staff feedback and analyse it once every quarter (March, June, September, December)

Tools

- Staff feedback questionnaires
- Staff feedback tabulation sheet

Tracking

- Required improvement actions are documented on the tabulation sheets
- Distribute the tabulated data and improvement actions required to relevant staff
- Report the required improvement actions to the Continuous Improvement Group
- Implementation of stakeholder feedback is recorded in the continuous improvement log
- Assess the effectiveness of actions and make amendments if necessary

Implement the Quality Indicator System

Background

1. Compulsory reporting against the Learner Engagement and Employer Satisfaction Quality Indicators through the SMART system ceased on 31st December 2011.

2. RTOs are still required to annually collect and report against the Quality Indicators to their State or Federal Regulator (by June 30 2012 for the 2011 calendar year) however, they are not required to use the SMART software.

3. ACER is no longer contracted by the NSSC to provide customer or technical support services for SMART.

Process overview

4. ASQA requirements for the quality indicator system are detailed at the following web site http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html

Process for learners

5. Collect feedback using the Learner's survey from a sample of the learner population who have completed at least one semester of study with the College

6. The students sampled must be from all current courses on the College scope with students enrolled

7. Tabulate the student feedback and use the ASQA Reporting template to submit to ASQA

8. Review the tabulated data implementing any improvement actions required

9. Record the outcomes in the continuous improvement log

Process for employers

10. Collect feedback using the Employer's survey from a sample of employers who have interacted with the College

11. The employers sampled must be from all current courses on the College scope with students enrolled

12. Tabulate the employer feedback and use the ASQA Reporting template to submit to the ASQA

13. Review the tabulated data implementing any improvement actions required

14. Record the outcomes in the continuous improvement log

Process for competency completion

15. Use the College student database to generate competency completion files

16. Use the competency completion online system to lodge the competency completion data

17.   Software to lodge the competency completion data and generate a report, the Competency Completion Online System (CCOS), is available from the National Centre for Vocational Education Research (NCVER) CCOS. Assistance in accessing and using the CCOS is available by emailing NCVER or by phoning (08) 8230 8468.

18.   RTOs regularly lodging AVETMISS data to meet requirements for funded training do not need to lodge data via the CCOS unless they have additional fee-for-service data that they have not lodged when claiming funds.

19.   Review the competency completion data implementing any improvement actions required

Frequency

- Competency Completion – data must be submitted on or before 30 June each year
- Learner Engagement – data must be submitted on or before 30 June each year
- Employer Satisfaction – data must be submitted on or before 30 June each year)

Tools

- Learner survey
- Employer survey
- Survey Management, Analysis and Reporting Tool
- Competency Completion Online System

Tracking

- Distribute the tabulated data and improvement actions required to all College staff
- Implement the improvement actions as directed by the Continuous Improvement Group
- Record the learner survey, employer survey and competency completion outcomes in the continuous improvement log

Review compliance with VET Quality Framework

20.   Check the ASQA website to ensure senior management is informed and up-to-date with current ASQA requirements and guidelines. Specific areas to be checked are:
- Home Page
- Media and Publications
- For training organisations
- Subscribe to the Newsletter

21.   Review Training Package Continuous Improvement Plans - http://www.isc.org.au/training-packages/ - tp-01

22.   Subscribe to relevant Industry Skills Councils - http://www.isc.org.au/

23.   Review the Skills Website - http://industry.gov.au/skills/Pages/default.aspx

24.   Check the ASQA website (http://www.asqa.gov.au) to ensure senior management is informed and up-to-date with current ASQA requirements and guidelines

25.   Conduct a review of College compliance with the essential standards for registration and the conditions of registration.

26.   Conduct a review of College compliance with the essential standards for registration and the conditions of registration.

Frequency

- Check the ASQA web site monthly prior to management meetings
- Distribute copies of ASQA factsheets, guides, presentations and news to all staff in a timely fashion.
- Distribute the newsletters/subscription service information to staff each time it is received.

- Conduct a compliance review at least once every 12 months and prior to the date when the College has to pay its annual registration fee and complete the registration declaration

Tools

- VET Quality Framework compliance checklist
- RTO marketing review guidelines
- Current AQF guidelines

Tracking

- Record details of the audit on the RTO VET Quality Framework checklist
- Record required improvements on the College recommended improvement actions report
- Report completion of the review to the Continuous Improvement Group

Sign off

- The Chief Executive Officer will sign and date the audit report and the College recommended improvement actions report following completion of the audit
- The Chief Executive Officer will sign the conditions of registration declaration and submit it to ASQA following completion of the audit
- Completion of the review is reported to the Continuous Improvement Group

Review and validate assessments – General

1. Assessment validation comprises two processes, assessment mapping and assessment moderation
2. A Group involving a minimum of 2 people will conduct assessment validation.
3. At least one member of the Validation Group must not be a current trainer in that unit or be a trainer external to the College – independence requirement
4. At least one member of the Validation Group must meet the independence requirement and meet the current Standards for Registered Training Organisations requirements for an assessor in relation to the assessments being validated.
5. The assessment validation schedule must be such that the entire RTO scope is validated over a five-year period and at least 50% of the RTO scope must be validated within the first 3 years of the commencement of the five year period.

Review and validate assessments - Mapping

Process for new units

1. For all qualifications on the Sydney Global College scope of registration prior to use, assessment tools for each unit will be "mapped" against the requirements of the unit of competency
2. The assessment mapping will be reviewed by the Director of Studies to ensure it is complete.
3. The completed Assessment Tools Checklist will be attached to the master copy of the assessment tool and filed for future reference and audit purposes.

Process for existing units

4. The Director of Studies will review assessment tool mapping within one month of a version change reported on the training.gov.au web site or following feedback from Sydney Global College staff indicating a review is required.
5. Any required amendments to the assessment tool will be made by the Director of Studies in consultation with a trainer for the unit being reviewed.

Process for all units

6. The Director of Studies will review completed assessment mappings before they are approved.

7. Any requirements of the unit of competency that are identified by the mapping as not being assessed will be rectified by the Director of Studies making appropriate adjustments to the assessment tool.

Assessment mapping frequency

- Prior to implementation for new units
- Following version change or feedback from Sydney Global College staff for existing units.

Assessment mapping Tools

- RTO Assessment Tools Checklist

Tracking and completion

8. A completed Assessment Tools Checklist will be retained and filed for future reference and audit purposes.

9. The Director of Studies will record details of each Assessment Review in the Continuous Improvement Log.

10. The Assessment Review details recorded in the Continuous Improvement Log will include the date, names of staff participating and a list of units reviewed.

11. The Director of Studies will update the Sydney Global College version control folder to include the revised assessment tools and activities

12. Where amendments are made to assessment tools the Director of Studies will archive and retain the previous assessment tools as evidence of changes having been made.

13. The Director of Studies will send Sydney Global College staff an email notification when the version control folder is updated with new or revised assessment tools.

Review and validate assessments - Moderation

Process

1. Assessment moderation will occur at the end of each term or semester for units that have been assessed in that study period.

2. The task of the Moderation Group is to moderate a sample of completed assessments undertaken by staff of Sydney Global College.

3. The review process undertaken by the Moderation Group will discuss and complete a review of processes, tools and instruments and competency decisions from a sample of actual assessments provided by the Director of Studies.

Assessment moderation frequency

- Assessment moderation will occur at the end of each term or semester

Assessment Moderation Tools

- RTO assessment review guide
- RTO assessor review form
- RTO assessment tool review questions

Tracking and completion

4. A completed RTO assessment review guide and RTO assessor review form will be retained and filed for future reference and audit purposes.

5. The Director of Studies will record details of each Assessment Review in the Continuous Improvement Log.

6. The Assessment Review details recorded in the Continuous Improvement Log will include the date, names of staff participating and a list of units reviewed.

7. The Director of Studies will update the Sydney Global College version control folder to include the revised assessment tools and activities

8. Where amendments are made to assessment tools the Director of Studies will archive and retain the previous assessment tools as evidence of changes having been made.

9. The Director of Studies will send Sydney Global College staff an email notification when the version control folder is updated with new or revised assessment tools.

Review and amend college scope of registration

Process

1. Review the plan for the business with particular attention on the course / qualification being delivered and review the College scope of registration in the light of any modified business plan making deletions as required

2. Check the TGA (http://www.training.gov.au/) and Training Package Continuous Improvement Plans - http://www.isc.org.au/training-packages/ - tp-01 websites to identify new and revised Training Packages related to the current College scope of registration

3. Where courses are reaccredited or revised Training Packages endorsed and they are related to the current College scope of registration the College must develop and implement plans to introduce the revised courses / qualifications / units of competency in accordance with the transition arrangements identified in clauses 1.26 and 1.27 of the Standards for Registered Training Organisations ASQA transition requirements. The major requirement of the transition arrangements are that:

    *   New learners cannot be enrolled in a training product that has been removed from the National Register

    *   All leaners must either complete, including issuance of certification, the superseded qualification or be transferred to the new training product within 12 months from the release date of the replacement training product

    *   If there is no replacement training product, all leaners must complete the superseded training product, including issuance of certification, within 24 months from the release date of the replacement training product in the case of an AQF qualification, or within 12 months from the release date of the replacement training product in the case of a skill set, unit of competency, accredited short course or module

    *   Sometimes, a qualification or accredited course will specify a core or named elective unit or module that has been superseded, removed or deleted from another training package. In these cases, you must continue to include the component/s as named in the qualification or course being delivered.

4. Where there are minor updates (Industry Skills Council upgrades) the College must make the required changes but ASQA does not require an application to upgrade as they will check that updates have been implemented when the next an audit is conducted.

5. Prepare new or revised strategies for training and assessment, learning material and assessment tools for any revised courses / qualifications / units of competency.

6. Make application to have the revised or new courses / qualification / units of competency added to the College scope of registration

Frequency

*   Review the plan for the business at least once each year
*   Prior to each continuous improvement meeting, review the web sites noted in process item 2.
*   Amend the scope when necessary

Tools

*   Nil

Tracking

*   Report the College scope of registration status to each continuous improvement meeting
*   Assess effectiveness of current scope and make amendments of appropriate.

Sign-off

- Lodgement of the addition to scope application.
- Approval of the addition to scope application
- Notification to the continuous improvement meeting of completion of the review and changes in scope

Review staff performance and professional development

Process

1. Interview staff and provide feedback based on stakeholder reviews, Director of Studies observation and any other information available. The review will include the following:
   - debriefing based on the previous review (where applicable)
   - duties, expectations, development activities and performance goals
   - College policies and procedures
   - items on the current staff induction checklist
   - staff awareness of, and understanding of legislation that significantly affects their duties. The legislation involved will include Equal Opportunity, Workcover and any legislation specific to the qualifications being delivered by the College
   - formal and informal professional development activities undertaken by staff in the previous year
   - check that staff continue to understand the CRICOS National Code, the implications of the National Code for students and the responsibility of staff to implements its requirements
   - check that staff continue to understand the potential implications for students and students visa status arising from non-attendance, unsatisfactory progress, non-payment of fees, breaching the Student Code of Behaviour, not completing within the expected duration of study and engaging in copyright breaches, cheating or plagiarism.

Frequency

- At least once a year

Tools

- Staff review and professional development record

Tracking

- Record outcomes of the review of staff performance and professional development on the staff review and professional development record, assess effectiveness of activities, make amendments if appropriate and place in the staff file.

Sign-off

- Report completion of staff reviews to the continuous improvement meeting.

Review training and assessment strategies

Process

1. Prepare master versions of training and assessment strategies in accordance with the requirements of the Training Package and the VET Quality Framework.

2. Review training and assessment strategies and make modifications where data sources indicate this is necessary.

3. Check that required facilities, resources and equipment are in place for all requirements of the qualifications on scope.

4. Data sources used for reviewing and modifying training and assessment strategies may include:
   - Training package guidelines
   - State purchasing guide if applicable

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

- Legislative or regulative requirements for the particular industry
- Information collected from employers or potential employers
- Industry information and literature reviewed
- Information from College staff who have maintained current industry expertise
- Information collected on the requirements of the College client target group
- Volume of learning guidelines in conjunction with the characteristics of the training cohorts
- Pre-training review information so that a range of strategies and practices are developed to match the range of needs identified in student cohorts

5. Include the names and affiliations of people consulted and a description of the data collected in each revision of the master College training and assessment strategy.

Frequency

- At least once a year

Tools

- RTO training and assessment strategy
- Facilities checklists
- Facilities location listing
- Employer questionnaires

Tracking

- Update the College version control folder to include the revised versions of training and assessment strategies
- Assess effectiveness of actions and make amendments of appropriate.
- Archive and retain the previous College training and assessment strategy as evidence of changes

Sign-off

- Send an email notification to College staff when the College version control folder is updated
- Report completion to the continuous improvement meeting

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Course Progress and Intervention Strategy [National Code Part B Standard 8]

1.0   Purpose

1.1   The purpose of this procedure is to ensure that student course progress is monitored and reviewed, that Sydney Global College takes intervention action when a student is in danger of not progressing satisfactorily or completing their course and the requirements of the National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students are met.

2.0   Responsibility

2.1   The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements.

3.0   Requirements (Policy)

3.1   Students are required to complete their course within the expected duration of study as recorded on the CRICOS register unless the exceptional circumstances as listed in 3.3 of the completion within expected duration of study procedure apply.

3.2   At the time of initial enrolment each student will be furnished with a training program schedule which will identify the units required to be completed in each study period in order to complete the qualification within the normal duration as indicated on the CRICOS register

3.3   Students who have unsatisfactory academic progress will be reported to Department of Education and the Department of Immigration and Border Protection. Unsatisfactory course progress is defined as a student failing to successfully complete and achieve competency in at least 50% of the course requirements in the study period. So to be clear, if there are 4 units of competency scheduled to be delivered in a study period, the student will be deemed to have unsatisfactory course progress unless the student have achieved a minimum of two units of competency in the study period.

3.4   Students who are "at risk" of not meeting satisfactory course progress requirements will be interviewed, counselled and will be placed on a course intervention strategy.

3.5   All causes of unsatisfactory progress or being "at risk" are to be considered including academic causes and not academic causes such as personal issues.

3.6   The progress of each student is monitored, recorded and assessed.

3.7   Sydney Global College has documented course progress policies and procedures.

3.8   Sydney Global College assesses each student at the end point of each study period according to its course progress policy.

3.9   Sydney Global College has an intervention strategy that identifies and assists students who are at risk of not making satisfactory course progress.

3.10   Where Sydney Global College has assessed the student as being "at risk" Sydney Global College will inform the student and implement an intervention strategy where warranted.

3.11   Where Sydney Global College has assessed the student as not meeting satisfactory course progress, Sydney Global College will inform the student in writing of its intention to report the student and that he or she is able to access Sydney Global College complaints and appeals process within 20 working days.

3.12   Sydney Global College will notify the Department of Education and the Department of Immigration and Border Protection through PRISMS of the student not achieving satisfactory progress after the appeals process (if actioned) is finalised and upholds Sydney Global College's decision to report

3.13   The method section defines the procedure used for monitoring progress, taking intervention action and reporting students who breach the requirements

4.0   Definitions

4.1   Study period means one term of study

4.2   Being "at risk" of not meeting satisfactory course progress requirements occurs when a student:
- fails more than 50% of units in a study period; or
- fails two or more units in a study period; or
- fails a prerequisite unit in a study period; or
- fails two consecutive assessments (or one if there is only two) of a prerequisite unit in a study period; or
- during a study period falls behind the trainers expected progress and is reported by the trainer to the Director of Studies
- is unable to complete a course within the expected duration of study as recorded on the CRICOS register after having their program reviewed by the Director of Studies in accordance with Sydney Global College Completion within the expected duration procedure; or
- has an attendance record that is detrimentally affecting the students capacity to complete the assessment requirements for a unit. Prior approval or a medical certificate from a registered medical practitioner does not remove the "at risk" status as prolonged absences for any reason place a student at risk of failure and is reported to the Director of Studies

4.3   Failing a unit means being assessed as "Not Yet Competent" for a completed unit.

4.4   The Director of Studies is responsible for the implementation and monitoring of the intervention strategy.

5.0   Method (Procedures)

Intervention strategy – general requirements

5.1   All students identified as being "at risk" (during the study period or at the end of the study period) of not meeting satisfactory course progress requirements will be sent a warning letter requiring them to attend a course counselling interview using the appropriate student course progress warning letter.

5.2   A copy of the warning letter and all other relevant documents will be placed in the students file.

5.3   At the meeting an intervention strategy will be negotiated with the student and will be recorded at the conclusion of the meeting and signed off by the student and the Director of Studies. A written copy of the intervention strategy will be provided to the student and placed in their file.

5.4   The course counselling interview and fortnightly intervention meetings will be initiated by the Director of Studies however appropriate personnel such as a Trainer may be called on to assist with the process or to delegate for the Director of Studies.

5.5   The effectiveness of the intervention strategies must be judged during this process and amended if appropriate. This information must also be recorded and feedback provided at the appropriate staff meeting under agenda item continuous improvement.

5.6   Co-ordinators will also keep a register of Continuous Improvement activities for their own department.

5.7   Students "at risk" of not meeting course progress requirements, who fail to participate fully in the intervention strategy developed by Sydney Global College in conjunction with the student will be subject to the student behaviour requirements which includes the possibility of deferral, suspension of cancellation of their enrolment.

5.8   At the fortnightly intervention meetings the following will be reviewed
- Programs to address academic and non-academic issues
- Student attendance
- Student study time table drawn up
- The fortnightly academic involvement report from each subject trainer.
- Assessment outcomes

- Any other matters relevant to progress

5.9 Where a student on the intervention strategy requires more time to complete their qualification the current Confirmation of Enrolment must be cancelled and a new Confirmation of Enrolment must be completed by the Student Services and Administration Manager and lodged on PRISMS. The new Confirmation of Enrolment must indicate the revised completion date and the reasons for the revised date.

5.10 Students failing to comply with the terms of the agreed intervention strategy will be notified of this in writing and of the possible outcomes of this non-compliance (suspension or cancellation under Sydney Global College student behaviour requirements). The written notification will require the student to immediately contact the Director of Studies to arrange a meeting to ascertain and address the reasons for failing to comply with the terms of the agreed intervention strategy. The written notification will be sent to the student within 5 working days of the student failing to comply with the terms of the agreed intervention strategy being identified by the Director of Studies. It will be at the discretion of the Director of Studies (based on information discussed and evidence provided) to decide whether to re-negotiate another intervention strategy with the student or notify the student of the Director of Studies intention to implement Sydney Global College Student behaviour procedure.

Intervention strategy – during a study period

5.11 During a study period student course progress will be continuously monitored by trainers.

5.12 Identification of students "at risk" will be accomplished by teachers completing the relevant section of Sydney Global College course progress record for the course each student is enrolled in where a student is identified as being "at risk" according to any of the criteria below.

5.13 Students will be identified as being "at risk" if during the study period they:
- fail to meet course progress assessment requirements required and communicated in writing to the students; or
- fail two consecutive assessments (or one if there is only two) of a prerequisite unit in a study period; or
- have an attendance record that is detrimentally affecting their capacity to successfully complete a unit: or
- are identified by the trainer as not progressing satisfactorily through the course material.

5.14 Trainers **must** monitor and record student course progress during each study period.

5.15 Trainers **must** report, in writing (via Sydney Global College course progress record), to the Director of Studies the details of any student identified as being at risk during a study period **without delay**.

5.16 All students identified during a study period as being "at risk" of not meeting satisfactory course progress requirements will be sent a warning letter by the Director of Studies requiring them to attend a course counselling interview using the appropriate student course progress warning letter.

5.17 A copy of the warning letter and all other relevant documents will be placed in the students file.

5.18 The course counselling interview and fortnightly intervention meetings will be initiated by the Director of Studies however appropriate personnel such as a Trainer may be called on to assist with the process.

5.19 At the course counselling interview academic and non-academic issues are to be explored, solutions sought and the following intervention strategies will be put in place where appropriate:
- Programs and counselling to address academic and non-academic issues
- Resitting assessments during the current study period
- Training and assessment programs conducted during non-compulsory periods to "catch up" failed units.
- Undertaking additional units in subsequent study periods to "catch up" with the training program schedule.
- Student attendance timetable prepared

- Student study time table prepared
- A fortnightly intervention meeting for the current study period with the Director of Studies or a delegated person will be scheduled
- A fortnightly academic involvement report requested from each subject trainer.

5.20   Students failing to comply with the terms of the agreed intervention strategy will be notified of this in writing and of the possible outcomes of this non-compliance (suspension or cancellation under Sydney Global College student behaviour requirements). The written notification will require the student to immediately contact the Director of Studies to arrange a meeting to ascertain and address the reasons for failing to comply with the terms of the agreed intervention strategy. The written notification will be sent to the student within 5 working days of the student failing to comply with the terms of the agreed intervention strategy being identified by the Director of Studies. It will be at the discretion of the Director of Studies (based on information discussed and evidence provided) to decide whether to re-negotiate another intervention strategy with the student or notify the student of the Director of Studies intention to implement Sydney Global College Student behaviour procedure.

Intervention strategy – after completion of a study period

5.21   Within 10 working days of the completion of a study period the Director of Studies will review the academic progress of all students in their department and identify those students who are "at risk" of not meeting satisfactory course progress requirements.

5.22   Identification of students "at risk" will be accomplished by the Director of Studies reviewing a current transcript of student progress printed from the student database (Axcelerate) and completing the relevant section of Sydney Global College course progress record for the course each student is enrolled in.

5.23   Being "at risk" of not meeting satisfactory course progress requirements occurs when a student:
- fails more than 50% of units in a study period; or
- fails two or more units in a study period; or
- fails a prerequisite unit in a study period; or
- is unable to complete a course within the expected duration of study as recorded on the CRICOS register after having their program reviewed by the Director of Studies in accordance with Sydney Global College Completion within the expected duration procedure

5.24   All students identified at the end of a study period as being "at risk" of not meeting satisfactory course progress requirements will be sent a warning letter by the Director of Studies requiring them to attend a course counselling interview using the appropriate student course progress warning letter.

5.25   A copy of the warning letter and all other relevant documents will be placed in the students file.

5.26   The course counselling interview and fortnightly intervention meetings will be initiated by the Director of Studies however appropriate personnel such as a Trainer may be called on to assist with the process.

5.27   At the course counselling interview academic and non-academic issues are to be explored, solutions sought and the following intervention strategies will be put in place where appropriate:
- Programs and counselling to address academic and non-academic issues
- Student attendance timetable prepared
- Student study time table prepared
- A fortnightly intervention meeting for the current study period with the Director of Studies or a delegated person will be scheduled
- A fortnightly academic involvement report requested from each subject trainer.
- Resitting assessments
- Undertaking additional units in subsequent study periods to "catch up" with the training program schedule.
- Training and assessment programs conducted during non-compulsory periods to "catch up" failed units.

Students failing to comply with the terms of the agreed intervention strategy will be notified of this in writing and of the possible outcomes of this non-compliance (suspension or cancellation under Sydney Global College student behaviour requirements). The written notification will require the student to immediately contact the Director of Studies to arrange a meeting to ascertain and address the reasons for failing to comply with the terms of the agreed intervention strategy. The written notification will be sent to the student within 5 working days of the student failing to comply with the terms of the agreed intervention strategy being identified by the Director of Studies. It will be at the discretion of the Director of Studies (based on information discussed and evidence provided) to decide whether to re-negotiate another intervention strategy with the student or notify the student of the Director of Studies intention to implement Sydney Global College Student behaviour procedure.

Reporting unsatisfactory course progress to the Department of Education and the Department of Immigration and Border Protection

5.28   Within 10 working days of the completion of a study period the Director of Studies will review the academic progress of all students and identify those students who have failed 50% or more units in a study period.

5.29   If a student fails more than 50% of units in a study period or otherwise fails to meet course progress requirements then Sydney Global College must notify the student in writing within 5 days of its intention to report the student for not achieving satisfactory academic progress using the appropriate student course progress warning letter. The student must be informed they have 20 working days to appeal to Sydney Global College.

5.30   If the appeal is not upheld or the student withdraws from the appeal process then Sydney Global College must report the student to Department of Education and the Department of Immigration and Border Protection as soon as practical following the appropriate PRISMS process.

If a student is reported to the Department of Education and the Department of Immigration and Border Protection for unsatisfactory progress the Department of Immigration and Border Protection will consider the circumstances of the student through PRISMS information. The Department of Immigration and Border Protection may issue a Notice of Intention to Consider Cancellation (NOICC) to student's most recent contact details notified to Sydney Global College.

The Department of Immigration and Border Protection may receive a response from the student visa holder. The Department of Immigration and Border Protection will consider cancellation under discretionary powers in section 116 of the Migration Act.

The student may continue to attend class provided they agree to continue to participate in an intervention strategy, pay their fees on time and meet any other academic and participation requirements Sydney Global College requires, unless the Department of Immigration and Border Protection makes a determination to cancel their visa.

5.31   Students who are not identified by this process will be deemed as having satisfactory course progress, however they may still be identified as being "at risk" of not achieving satisfactory course progress and therefore be subject to an intervention strategy.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Critical incidents [National Code Part B Standard 6]

1.0   **Purpose**

1.1   The purpose of this procedure is to recognise the duty of care owed by Sydney Global College to its students and to document the process for managing critical incidents if and when they occur.

2.0   **Responsibility**

2.1   In the first instance the designated officer is any member of the staff who is witness to/or receives the information which triggers the critical incident. If possible the Principal / Chief Executive Officer is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements.

3.0   **Requirements (Policy)**

3.1   CRICOS registered Institutes must have a documented critical incident policy together with procedures that cover the action to be taken in the event of a critical incident, required follow-up to the incident, and records of the incident and action taken.

3.2   Critical incidents are not limited to, but could include:
- missing students;
- severe verbal or psychological aggression;
- death, serious injury or any threat of these;
- Fire, bomb, explosion, gas/chemical hazards, discharge of firearm;
- Serious damage to essential facilities and or extreme disruption to operations at Sydney Global College;
- natural disaster; and
- issues such as domestic violence, sexual assault, drug or alcohol abuse.

3.3   The Educational Services for Overseas Students Act 2000 (ESOS Act) requires Sydney Global College to notify the Department of Education and the Department of Immigration and Border Protection as soon as practical after the incident and in the case of a student's death or other absence affecting the student's attendance, the incident will need to be reported via the Provider Registration and International Student Management System (PRISMS).

3.4   When an international student dies or sustains serious injury, Sydney Global College may be required to assist the student's family. This may include:
- hiring interpreters
- making arrangements for hospital/funeral/memorial service/repatriation
- obtaining a death certificate
- assisting with personal items and affairs including insurance issues
- assisting with visa issues

3.5   Following a critical incident analyse Sydney Global College response and processes and implement improvements where indicated

4.0   **Definitions**

4.1   A Critical Incident is any sudden or progressive development (event) that requires immediate attention and decisive action to prevent/minimise any negative impact on the health and welfare of one or more individuals.

5.0   Method (Procedures)

5.1   Any Institute staff member receiving news or information regarding a critical incident must contact the CEO as soon as practicable. If this is not possible then the most senior person available must be contacted and informed.

5.2   On receipt of news or information regarding a critical incident the CEO or senior person must:
- Create for themselves a clear understanding of the known facts
- If an emergency exists contact the relevant emergency services by phoning 000
- If translators are required contact Translating and Interpreting Service by phoning 131 450
- If counselling services are required contact Life Line on 131 114
- If the critical incident is at an offshore location contact the department of Foreign Affairs and Trade for advice on the best way to assist the student
- Plan an immediate response.
- Plan ongoing strategies.
- Allocate individual roles/responsibilities for ongoing tasks.

5.3   Based on an evaluation of the critical incident the CEO or most senior person must, where appropriate, make implement the following:
- Contact with next of kin/significant others
- Informing Institute staff and students.
- Prepare a guideline to staff about what information to give students.
- Prepare a written bulletin to staff and students if the matter is complex.
- Briefing staff and delegating a staff member to deal with telephone/counter inquiries.
- Managing media/publicity
- Identify students and staff members most closely involved with the incident and ensure they are offered support and counselling
- Arrange a time and place for an initial group/individual debriefing session with the Student Services and Administration Manager
- Arrange access to emergency funds if necessary.

5.4   Record the incident and the following key details to report include
- The time of the incident
- The location and nature of the incident
- The names and roles of persons directly involved in the critical incident
- The action taken by Sydney Global College including any opportunities for improvement
- The organisations and people contacted by Sydney Global College

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Deferring, suspending or cancelling the overseas student's enrolment [National Code Part B Standard 9]

1.0   Purpose

The purpose of this procedure is to define the system used to manage student initiated and provider initiated deferral of commencement, suspension of studies and cancellation of enrolment.

2.0   Responsibility

The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and are aware of its application and implement its requirements.

3.0   Requirements (Policy)

Providers must have documented procedures for assessing, approving and recording a deferment or suspension of study. (This relates to Standard 2.1 f., which requires that students must be informed prior to enrolment of the grounds on which their enrolment may be deferred, suspended or cancelled.)

Providers must inform the student that deferment, suspension or cancellation of enrolment may affect his or her student visa.

Should a provider initiate the suspension or cancellation of a student's enrolment, it must notify the student of its intention and allow the student 20 working days to access the provider's internal complaints and appeals process, unless extenuating circumstances relating to the welfare of the student apply.

If the student appeals the decision to defer, suspend or cancel his or her studies, the provider must not notify the Department of Education and the Department of Immigration and Border Protection of a change to the enrolment status until the internal complaints and appeals process is completed.

Providers inform the Department of Education and the Department of Immigration and Border Protection via Provider Registration and International Student Management System (PRISMS) when a student's enrolment is deferred, suspended or cancelled.

This standard allows providers to grant deferral of commencement of studies or suspension of studies for students who request such a change to their enrolment status on the grounds of compassionate or compelling circumstances.

The standard also allows providers to defer or temporarily suspend the enrolment of students due to misbehaviour of the students. Misbehaviour of students can also be grounds for cancellation of studies as long as the student was informed of this prior to enrolment.

4.0   Definitions

To defer or suspend enrolment means to temporarily put studies on hold (adjourn, delay, postpone). Providers do this by notifying the Department of Education and the Department of Immigration and Border Protection through Provider Registration and International Student Management System (PRISMS) of the deferment or suspension of enrolment.

A student may request a temporary deferment or suspension to his or her enrolment on the grounds of compassionate or compelling circumstances. A provider may also initiate suspension of a student's enrolment due to misbehaviour of the student.

It is important to note the meanings of the terms for this context – suspension of enrolment is not necessarily due to misbehaviour – suspension of enrolment may also be initiated by the student.

5.0   Method (Procedures)

5.1   The decision to defer commencement of studies, suspend studies or cancel enrolment will be made by the Director of Studies. In making this decision the Director of Studies may consult with other staff in Sydney Global College. The Director of Studies will be responsible for initiating any action required under this procedure including notification on PRISMS.

5.2   All documents relating to a decision to defer, suspend or cancel a student enrolment must be placed on the students file including copies of warning letters and documentation explaining how the application was assessed and the decision made by Sydney Global College and the evidence provided to support the decision.

5.3   Students wishing to defer the commencement of studies, suspend their studies or cancel their enrolment must apply to do so in writing to Sydney Global College. This can be done using the student deferral suspension or cancellation application form available from Sydney Global College or by email, or post.

5.4   Sydney Global College may decide to accept an application from a student for deferral of commencement or suspension of study on the compelling or compassionate grounds. Judgement has to be exercised in determining what compassionate or compelling grounds are and documentation of the details and evidence must be retained in the student's file. As a guide some examples of compelling or compassionate grounds are:
- serious illness or injury, where a medical certificate states that the student was unable to attend classes;
- bereavement of close family members such as parents or grandparents (Where possible a death certificate should be provided);
- major political upheaval or natural disaster in the home country requiring emergency travel and this has impacted on the student's studies; or
- a traumatic experience which has impacted on the student (these cases should be supported by police or psychologists' reports) which could include:
  – involvement in, or witnessing of a serious accident; or
  – witnessing or being the victim of a serious crime,
- where Sydney Global College is unable to offer a pre-requisite unit; or
- where there is an inability to begin studying on the course commencement date due to delay in receiving a student visa

5.5   If a student requests cancellation of their enrolment the refund arrangements in the Written Agreement between Sydney Global College and the student will be triggered. Students who cancel their enrolment and think they are due for a refund must also apply for a refund according to the provisions in the Written Agreement.

5.6   Sydney Global College may decide to suspend or cancel a student's enrolment on its own initiative as a response non-commencement of a course or to misbehaviour by the student. Student misbehaviour will be deemed to have occurred if the student breaches the requirements of the Student Code of Behaviour as defined in the Student Behaviour procedure.

5.7   Students must be informed in writing that deferral of commencement, suspension of enrolment and cancellation of enrolment has to be reported to the Department of Education and the Department of Immigration and Border Protection via PRISMS and may affect the status of their student visa. This will be done using the deferral, suspension or cancellation warning letter.

5.8   If Sydney Global College intends suspending or cancelling the student's enrolment where it is not at the student's request, the student must be informed they have 20 working days to appeal to Sydney Global College. If the appeal is not upheld or the student withdraws from the appeal process then Sydney Global College must report the student to the Department of Education and the Department of Immigration and Border Protection via PRISMS. The suspension or cancelling of the student's enrolment cannot take effect until the appeal process is completed unless there are extenuating circumstances relating the student's welfare.

5.9   Student initiated deferral of commencement or suspension of enrolment cannot be granted retrospectively (after the event) or if it was taken by the student without authorisation.

6.0   If students have taken unauthorised leave then they will be recorded as absent and may have their enrolment suspended or cancelled. Suspension or cancellation is reported to the Department of Education and the Department of Immigration and Border Protection via PRISMS and may affect the status of a student's visa. Where Sydney Global College approves an application to defer commencement, suspend studies or cancel an enrolment or makes a decision to defer commencement, suspend studies or cancel an enrolment the Director of Studies is responsible for notification of this on PRISMS and issuing the appropriate warning letter to students.

7.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Financial management

1.0   Purpose

The purpose of this procedure is to define the system used to manage the College fee collection and refund arrangements.

2.0   Responsibility

The Chief Executive Officer is responsible for the implementation of this procedure and to ensure that staff and are aware of its application and implement its requirements.

3.0   Requirements (Policy)

The Chief Executive Officer is responsible for the College financial procedures and accountabilities.

An independent and qualified accountant prepares annual accounts annually.

> 3.1   If requested by the Australian Skills Quality Authority the College will obtain, and make available a full audit report from a qualified independent accountant with membership of CPA Australia or ICA Australia.

If applicable, protection of domestic fees paid in advance by student is undertaken in accordance with Standards for Registered Training Organisations by meeting the requirements of Clause 7.7. Where fees of less than $1,500 are collected in advance no action is required in respect of Clause 7.3.

Sydney Global College ensures that all Student Visa Holders are enrolled with a written agreement that complies with Section 47B of the ESOS Act

Protection of fees paid in advance by international student is undertaken in accordance with subsection 29 of the ESOS Act.

Protection of fees paid in advance by domestic student is undertaken in accordance with VET Quality Framework.

Student refunds must be made in accordance with the Education Services for Overseas Students (Calculation of Refund) Specification 2014 which outlines minimum payment requirements in certain circumstances.

The Tuition Protection Service requirements must be followed in the case of provider or student default on course provision and course commencement and attendance.

4.0   Definitions

N/A

5.0   Method (Procedures)

Accounting records

Accounting records of debtors, creditors, assets and liabilities, and financial statements are prepared quarterly and annually by Peirson Partners, Suite 205 / 284 Victoria Avenue Chatswood NSW 2067, Ph: 02 8971 4664, Email: ricky.ho@peirson.com.au, web: www.peirson.com.au as required by ASIC for a private company and by the Australian Taxation Office

At the end of each financial year the Chief Executive Officer ensures that the accounts are prepared by Peirson Partners to indicate the financial performance and financial position of the Sydney Global College.

At the end of each financial year the Chief Executive Officer will ensure that tax returns are prepared and lodged by Peirson Partners by the required date.

Fee payment

5.1   Quarterly returns to the ATO are prepared and lodged by the CEO.

5.2   The fee payment schedule for publicly offered courses and courses paid for my employers will be in accordance with Clause 7.3 of the Standards for Registered Training Organisations.

- The specific fee schedule will be detailed on the application and enrolment form to be completed by each student.
- Prior to commencement of the course a maximum fee of $1,500 (the commencement amount) or the total course fee, whichever is the lesser amount, will be paid in advance.
- After course commencement an instalment payment schedule will be followed.
- The instalment payment amount will be equal to the balance of fees owing after payment of the commencement amount divided by the number of instalment payments to be made. Each instalment payment amount must not exceed $1,500.

5.3   Fees paid and refunds given in are recorded in the accounting system so that each student or clients financial status is known.

5.4   Details of student accounts are maintained in the accounting system.

5.5   Pre-paid tuition fees will be paid into a "designated" bank account within 5 business days of receipt and not drawn down until a student has commence their course or defaulted on the requirements of their written agreement.

A receipt will be issued by Sydney Global College to the student at the time, or immediately after fees are received and cleared by the bank

Fees paid will be recorded in the College accounting system so that each student or clients financial status is known at all times.

Tuition Protection Service Requirements – Provider Default

What is a Provider Default?

Provider default occurs Under section 46A of the ESOS Act a registered provider defaults, in relation to an overseas student or intending overseas student and a course at a location, if:

- the provider fails to start providing the course to the student at the location on the agreed starting day; or
- after the course starts but before it is completed, it ceases to be provided to the student at the location; and the student has not withdrawn from the course before the default day.

Notify the Secretary and the TPS Director – 3 days from the Provider default

Under section 46B of the ESOS Act, Sydney Global College must notify the Secretary (via Prisms) and the TPS Director of the default within 3 business days of the default occurring. The notice must be in writing and meet the requirements of section 46B of the ESOS Act.

Notify the Students – 3 days from the Provider default

Under section 46B Sydney Global College must also notify each student to which the default applies within 3 business days of the default occuring. The notice must be in writing and meet the requirements of section 46B of the ESOS Act.

Meet Provider Obligations – 14 days from notification (Obligation Period)

Under section 46D of the ESOS Act, Sydney Global College has 14 days after the day of the default (the provider obligation period) to satisfy Sydney Global College tuition protection obligations to the student as set out in section 46D of the ESOS Act

Sydney Global College discharges its obligations to a student if

- the student accepts, in writing, an offer of a place in another course arranged by Sydney Global College; or
- Sydney Global College provides a refund to the student of any unspent pre-paid fees in accordance with subsection (6).

Failing to discharge RTO obligations to the student under section 46D is an offence under section 46E of the ESOS Act and serious penalties apply.

Notification of the outcome– 7 days from the end of the obligation period

Under section 46F of the ESOS Act, Sydney Global College has 7 days after the end of the obligation period to give a notice to the Secretary and the TPS Director of the outcome of the discharge of the RTO obligations. This notice must comply with the requirements of section 46F.

If Sydney Global College has not met its Provider Obligations, affected students may be assisted by the TPS Director.

Tuition Protection Service Requirements – Student Default

What is a Student default?

Under section 47A of the ESOS Act, an overseas student or intending overseas student defaults, in relation to a course at a location, if:

- the course starts at the location on the agreed starting day, but the student does not start the course on that day (and has not previously withdrawn); or
- the student withdraws from the course at the location (either before or after the agreed starting day); or
- the registered provider of the course refuses to provide, or continue providing, the course to the student at the location because of one or more of the following:
  - the student failed to pay an amount payable to the provider for the course;
  - the student breached a condition of his/her student visa;
  - misbehaviour by the student (Note: the student is entitled to natural justice under subsection 47A(3)).

Notifying the Secretary and the TPS Director – 5 days from the Student Default

Under section 47C of the ESOS Act, Sydney Global College must notify the Secretary and the TPS Director of the default within 5 business days of the default occurring.

The notice must be in writing and comply with the requirements of section 47C.

Meet Provider Obligations– 28 days from the Student Default (obligation period)

If a student or intending student defaults Sydney Global College must provide a refund in accordance with the requirements under either section 47D or 47E of the ESOS Act, depending on which section applies to the circumstances of the default situation.

Sydney Global College must pay the refund within the period (the provider obligation period) of 4 weeks after the day specified in section 47D or 47E, depending on which section applies to the circumstances of the default situation.

If Sydney Global College fails to discharge its obligations under sections 47D or 47E, it is an offence under section 47G of the ESOS Act and serious penalties apply.

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

<u>Step 4 – Notification of the outcome – 7 days from the end of the obligation period</u>

Under section 47H of the ESOS Act, Sydney Global College has 7 days after the end of the obligation period to give a notice to the Secretary and the TPS Director of the outcome of the discharge of Sydney Global College obligations. This notice must comply with the requirements of section 47H

Refunds

Refund application requests must be made in writing on the student refund request form provided by the College.

Refunds will be paid in accordance with the conditions agreed to on the signed and dated Written Agreement except for Provider Default and Student Visa Cancellation. In the case of Provider Default and Student Visa Cancellation student refunds will be made in accordance with the Education Services for Overseas Students (Calculation of Refund) Specification 2014 which outlines minimum payment requirements in these circumstances. An explanation of these requirements follows.

The Student Services & Administration Manager or the Chief Executive Officer must approve student refunds.

5.6   Refunds given will be recorded in the College accounting system so that each student's financial status is known.

Refund Calculation – Provider Default and Student Visa Refusal after Course Commencement

The refund amount = weekly tuition fee x the number of weeks in the default period

The weekly tuition fee = total tuition fee for the course / number of calendar days in the course x 7. This amount is rounded up to the nearest whole dollar.

The number of weeks in the default period = number of calendar days from the default day to the end of the period to which the payment relates / 7

Example Calculation – Provider Default

Sabrina is enrolled in a course in a 42-week (294 calendar days) course that costs $8,000. She pays the provider $4,000 in tuition fees before commencing the course. This payment relates to the first 12 weeks (84 calendar days) of the course. The provider defaults on day 20 of the course.

a) Weekly tuition fee = ($8,000 / 294 calendar days) × 7

= ($27.210884) × 7, rounded up to the nearest whole dollar

= $191

b) Weeks in default period = (84 calendar days to which payment relates – 20 calendar days from start of course to default day) / 7

= 64 / 7

= 9.1428571 weeks, rounded up to the nearest whole week = 10 weeks

c) Refund amount:

Weekly tuition fee × weeks in default period

= $191 × 10 = $1,910

Under section 7 of the new refund specification, Sabrina's refund would be $1,910.

Example Calculation – Student Visa Refusal After Course Commencement

Rani is living in Sydney and has just completed a Certificate IV in Leadership and Management. She decides she would now like to undertake a 40-week (280 calendar day) Diploma in Leadership and Management, and she applies for a new visa.

The tuition fees for the whole course are $10,000, but Rani pays $5,000 tuition fees up front for the first half (140 calendar days) of the course.

Rani also pays the provider $500 in non-tuition fees.

Rani starts the course while awaiting the outcome of her new visa. Two weeks into the course she is refused a visa. She informs her provider and withdraws from the course with effect from the day she was refused the visa (14 calendar days into the course).

a) Weekly tuition fee = ($10,000 / 280) × 7 = $250

b) Default occurs at day 14, therefore number of calendar days between the default day1 and the end of the period to which the payment of $5000 relates (140 days) is 140 days minus 14 = 126 days

(126 / 7) = 18 (weeks in default period)

c) Refund amount: Weekly tuition fee × weeks in default period

= $250 × 18 = $4,500

Refund Calculation – Student Visa Refusal Prior to Course Commencement

The refund amount = the total course fee minus 5% of the course fee received up to a maximum of $500

Example Calculation – Student Visa Canceled Prior to Commencement

Julia lives in Germany and has paid $15,000 tuition fees and $5,000 non-tuition fees to a provider for a course. She is due to leave Germany in April to start the course. In January the Department of Immigration and Border Protection contact her and advise her visa has been refused. Julia informs her provider of the refusal of her visa, and withdraws from the course before it starts. Julia's provider must now calculate her refund under section 9 of the refund specification.

a) Total course fee = $15,000 + $5,000 = $20,000

b) 5% of the total course fee = 5% of $20,000 = $1,000

c) The maximum amount that can be subtracted = $500

d) The refund amount = $20,000 - $500 = $19,500

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Identifying learning needs [National Code Part B Standard 8]

1.0 Purpose

The purpose of this procedure is to identify the general methodology to be used when identifying learning needs and designing training and assessment materials

2.0 Responsibility

The Director of Studies is responsible for the implementation of this procedure and to ensure that staff are aware of its application and implement its requirements

3.0 Requirements (Policy)

The College must ensure that in developing, adapting or delivering training and/or assessment products and services:

- Methods used to identify learning needs, and methods for designing training and assessment, are documented
- The requirements of the Training Package or accredited course are met
- Core and elective units, as appropriate, are identified
- Language, literacy and innumeracy requirements develop the learning capacity of the individual and are consistent with the essential requirements for workplace performance specified in the relevant units of competency or outcomes of accredited courses
- Delivery modes and training and assessment materials which meet the needs of a diverse range of clients are identified
- Volume of learning requirements are met
- Strategies and practices to enable each learner to achieve their planned outcomes are developed and implemented
- Where assessment or training is conducted on-line or by distance, the College has implemented effective strategies for learner support, monitoring students, assessing students and ensuring authenticity of work submitted.

4.0 Definitions

N/A

5.0 Method (Procedures)

Review individual training needs with the student and identify appropriate training content, level and pathways (core and elective units).

Conduct a pre-training review of each student's previous education and training and identify any RPL or Mutual Recognition that may be applicable.

Assess language, literacy and numeracy levels and requirements referring students to appropriate assistance if required. Generally, if a student has previously completed HSC or a Certificate IV level qualification their language, literacy and numeracy could be assumed as sufficient unless the proposed qualification has high demands in numeracy and literacy.

Enrol the student in an appropriate course based on the student training needs and each individual student's pre-training review and language literacy and numeracy levels, in consultation with each student.

6.0   <u>Revision history</u>

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Managing agents [National Code Part D Standard 4]

1.0   Purpose

1.1   The purpose of this procedure is to identify the general methodology to be used to recruit, review and manage agents

2.0   Responsibility

2.1   The Student Services and Administration Manager is responsible for the implementation of this procedure and to ensure that staff are aware of its application and implement its requirements

3.0   Requirements (Policy)

3.1   Sydney Global College will appoint Agent to be non-exclusive representatives and to perform the services for the terms set out in an agreement referred to as an Agent Agreement. Each Agreement will be non-exclusive Agreement and the Agent acknowledges that Sydney Global College may appoint other representatives as it so chooses

3.2   Sydney Global College will make each Agent aware of the requirements of the Migration Act 1958, ESOS Act (2000) and the National Code of Practice for Providers of Education and Training to Overseas Students 2018 and the Agent will undertake to comply with all regulatory and statutory requirements under any agreement reached. The specific requirements of Sydney Global College and the Agent will be contained in a written agreement signed by both parties.

3.3   Sydney Global College must ensure that its education agents have access to up-to-date and accurate marketing information as set out in Standard 1 (Marketing information and practices). This will be accomplished by requiring agents to use Sydney Global College web site to access information provided to prospective students. This information is dated when printed. The information that will be accessed in this way is:
* Student application form
* Student prospectus

3.4   Sydney Global College must not accept students from an education agent or enter into an agreement with an education agent if it knows or reasonably suspects the education agent to be:
* engaged in, or to have previously been engaged in, dishonest practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers under Standard 7 (Transfer between registered providers).
* facilitating the enrolment of a student who the education agent believes will not comply with the conditions of his or her student visa.
* using Provider Registration and International Students Management System (PRISMS) to create Confirmations of Enrolment for other than a bona fide student, or,
* providing immigration advice where not authorised under the Migration Act 1958 to do so.

3.5   Where the registered provider has entered into an agreement with an education agent and subsequently becomes aware of, or reasonably suspects, the engagement by that education agent, or an employee or sub-contractor of that agent, of the conduct set out in Standard 4.3, the registered provider must terminate the agreement with the education agent. This paragraph does not apply where an individual employee or sub-contractor of the education agent was responsible for the conduct set out in Standard 4.3 and the education agent has terminated the relationship with that individual employee or subcontractor.

3.6   The registered provider must take immediate corrective and preventative action upon the registered provider becoming aware of an education agent being negligent, careless or incompetent or being engaged in false, misleading or unethical advertising and recruitment practices, including practices that could harm the integrity of Australian education and training.

4.0   Method (Procedures)

Agent selection

4.1   Prospective agents will be required to complete Sydney Global College agent application form, to be interviewed and be required to provide evidence of business registration, an accountants' or lawyers' reference and at least two character references. All references will be checked and validated by Sydney Global College. Those agents who are judged to operate in an ethical an honest manner will be offered an agents agreement. The judgement of the agent will be made on the basis of the interview, the references and any other information that may be available.

4.2   All agents are required to have signed a current Institute agent's agreement. Agents whose agreements have expired are no longer formally representing Sydney Global College

4.3   Sydney Global College must take immediate corrective and preventative action upon becoming aware of an education agent being negligent, careless or incompetent or being engaged in false, misleading or unethical advertising and recruitment practices, including practices that could harm the integrity of Australian education. The action must be appropriate to the breach of requirements by the agent and can include: cancelling the agent agreement; correcting incorrect information provided to students; providing students with a full refund of the agent fees in the event that students have been misled by the actions of the Agent; requiring the agent to undertake counselling by Sydney Global College about the Agent's responsibilities under this agreement, code of conduct under this agreement and requirements under the National Code.

4.4   Sydney Global College must notify the Department of Education and the Department of Immigration and Border Protection if they consider the agent may have broken the law.

4.5   If at any time Sydney Global College finds through student interviews or any other means that an agent is acting in contravention of the Agent's Agreement, the requirements of the ESOS legislation & regulations, or the National Code the agency agreement will be cancelled immediately. Review and maintain agent agreements

Corrective and preventative actions

4.6   Corrective and preventative actions must be appropriate to the breach of requirements by the Agent

4.7   Corrective and preventative actions could include:
- cancelling the agent agreement,
- correcting incorrect information provided to students,
- providing students with a full refund of the agent fees in the event that students have been misled by the actions of the Agent.
- Requiring the Agent to undertake counselling by Sydney Global College about the Agent's responsibilities under this agreement, code of conduct under this agreement and requirements under the National Code.

4.8   Agent's refusing to undertake the required corrective and preventative action will have their agreement cancelled

Agent Monitoring

4.9   The agreement is valid for a maximum of 12 months from the start date and will be subject to monitoring activities by Sydney Global College. Six months from start date of the agreement the Agent's performance and compliance with the agreement will be reviewed by Sydney Global College.

4.10   Following the review Sydney Global College may take corrective and preventative actions or impose termination conditions depending on the outcomes of the review.

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

4.11 Review and monitoring activities will include:
- conducting an interview with new students during the orientation program using Sydney Global College agent review checklist
- interviewing agents and checking their understanding of the National Code, agent responsibilities under the agreement and the agent code of conduct under the agreement
- contacting each agent twice a year to ensure that the agent is using the current version of the Student prospectus and Application Form
- requiring the agent to update their application form and referees
- checking current referees
- where practical visiting agents at their place of business

Termination Conditions

4.12 The agreement may be cancelled at any time by either party with two weeks written notice by mail or email. Following the date of cancellation:
- no students will be accepted from the agent from the date of sending the written notice of cancellation.
- no further commissions will be paid to the Agent.

4.13 If the Agent or an employee or subcontractor of the Agent is found to, or is reasonably suspected to, have breached the Agent Code of Conduct:
- the agreement will be immediately cancelled with written notice by mail or email.
- no students will be accepted from the Agent from the date of sending the written notice of cancellation.
- no further commissions will be paid to the Agent.
- the Agent will be required to reimburse commissions paid by Sydney Global College to the Agent where students have been misled by the actions of the agent.

5.0 Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

National Recognition [National Code Part B Standard 2]

1.0   Purpose

1.1   The purpose of this procedure is to ensure that the qualifications and Statements of Attainment issued by any other Registered Training Organisation are recognised and the requirements of the National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students are met.

2.0   Responsibility

2.1   The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements.

3.0   Requirements (Policy)

3.1   The method section of this procedure defines the process used for dealing with applications for Credit Transfer.

3.2   The process for dealing with applications for Recognition of Prior Learning is described in a separate procedure.

3.3   Qualifications and Statements of Attainment issued by any other Registered Training Organisation must be recognised in Credit Transfer and Recognition of Prior Learning applications.

3.4   Authenticated VET transcripts issued by the Registrar under the Student Identifiers Act 2014

3.5   National Recognition means that:
- students will be granted Credit Transfer in a course as a consequence of having completed the same unit(s) with a Registered Training Organisation, or
- students who have completed units which are not identical with units being currently applied for will have these units considered as part of an assessment for Recognition of Prior Learning

3.6   National Recognition, Credit Transfer and Recognition of Prior Learning information must be included in information provided to students prior to enrolment

3.7   All staff must be provided with information about the National Recognition application process and assist students in completing applications.

4.0   Definitions

4.1   National Recognition is recognition by a registered training organisation of the AQF qualifications and statements of attainment issued by all other registered training organisations or authenticated VET transcripts issued by the Registrar, thereby enabling national recognition of the qualifications and statements of attainment issued to any person.

4.2   Credit transfer applies to situations where students have completed units; identical to those they are currently enrolled in, at another TAFE Provider or Registered Training Organisation.

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

4.4   An individual's authenticated VET transcript is a document prepared by the Student Identifiers Registrar under the Student Identifiers Act 2014 that sets out information that relates to vocational education and training undertaken by the individual and is prescribed by the regulations.

5.0   Method (Procedures)

Credit Transfer

5.1   Applicants for Credit Transfer must complete the student Credit Transfer application form, attach a copy of a verified Award or Statement of Attainment and submit the application to the Student Services & Administration Manager.

5.2   The Student Services & Administration Manager must check the Award or Statement of Attainment and grant Credit Transfer for identical units that have been identified as being completed at another Registered Training Organisation.

5.3   Verified copies of Qualifications and Statements of Attainment used as the basis for granting Credit Transfer must be placed in the student files

5.4   The completed Credit Transfer record must be signed by the student and the Student Services & Administration Manager

5.5   Granting of Credit Transfer must be recorded as a unit outcome in the students file

If applicable student individual training plans will be adjusted to reflect any Credit transfer granted.

5.6   Students may use the College appeal procedures if dissatisfied with the outcome of their credit transfer application

5.7   Any course duration reduction as a result of Credit Transfer granted to students must be indicated on the Confirmation of Enrolment if granted prior to the issue of a visa **or** on PRISMS if granted after the issue of a visa.

Recognition of Prior Learning

5.8   The process for dealing with applications for Recognition of Prior Learning is described in a separate procedure.

6.0   Revision History

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Credit Transfer Process

```
                    Start  →  Identify learner requiring
                              credit transfer
                                    ↓
                              Advise leaner of process and
                              provide application form
                                    ↓
                              Receive application form and
                              supporting documents
                                    ↓
                              Review application, including
                              checking authenticity of
                              certificates
                                    ↓
  Advise applicant of    ← Y ◇ Is further
  additional requirements       evidence
         ↓                      required?
                                    ↓ N
  Receive and review    →   ◇ Are units of   → N → Undertake
  additional evidence        competency              research to map
                             a match?                units of
                                  ↓ Y                 competency
                                                         ↓
  Approve recognition application file evidence on learner file  ← Y ◇ Can unit/s
                                  ↓                                       be
  Provide written notification of outcome to learner  ← N              granted?
                                  ↓
  Outcomes are recorded in SMS, update CoE and PRISMS
                                  ↓
                                 End
```

Plagiarism Policy

Sydney Global College is committed to ensuring a great learning experience for its students. It aims to provide a learning environment that fosters the qualities of independent learning and academic integrity.

This policy seeks to encourage ethical conduct and to inform staff and students about the Sydney Global College standards of academic behaviour. Students have a responsibility to maintain the highest standards of academic integrity in their work. Students must not cheat in assessment and must ensure that they do not plagiarise.

What is plagiarism?

Plagiarism is the act of misrepresenting as one's own original work the ideas, interpretations, words or creative works of another. These include published and unpublished documents, designs, music, sounds, images, photographs, computer codes and ideas gained through working in a group. These ideas, interpretations, words or works may be found in print and/or electronic media.

Academic integrity

One of the core functions of Sydney Global College is to develop student's ability to apply critical reasoning to assessment activities through independent thought and to make decisions that reflect the student's considerations of the task or workplace requirement.

Sydney Global College acknowledges that to develop this ability, the student will study the work of others via issued textbooks, learning material or through their own research. However, it is important that students in their learning acknowledge, through appropriate referencing, earlier work from which they have drawn information.

Referencing

Referencing demonstrates that the student has read the issued material or has undertaken their own research in other sources. Failure to reference appropriately is considered unethical academic behaviour and will result in a student's work not being accepted.

Students should understand that assignment and project work submitted for assessment must consist of original effort. It is insufficient to simply copy work from other sources and submit it, even if those sources are appropriately acknowledged. Work submitted by a student must have an original component.

The following are examples of plagiarism where a student intentionally does not acknowledgement or reference an author or source:

– Direct copying of paragraphs, sentences, a single sentence or significant parts of a sentence;
– Direct copying of paragraphs, sentences, a single sentence or significant parts of a sentence with an end reference but without quotation marks around the copied text;
– Copying ideas, concepts, research results, computer codes, statistical tables, designs, images, sounds or text or any combination of these;
– Paraphrasing, summarising or simply rearranging another person's words, ideas, etc., without reference or explanation;
– Offering an idea or interpretation that is not one's own without identifying whose idea or interpretation it is;
– A 'cut and paste' of statements from multiple sources;
– Presenting as independent, work done in collaboration with others;
– Copying or adapting another student's original work into a submitted assessment item;
– Copying or adapting a student's own work submitted in a previous essay or assessment;
– Alternatively, there will be instances when a student unintentionally fails to cite sources or to do so adequately.

Careless or inadequate referencing or failure to reference will be considered poor practice. Where careless referencing is identified, the student will be required to correct the error and resubmit an assignment.

How to reference

At Sydney Global College, students are to be encouraged to apply the Harvard Referencing System in-text citation. This approach requires three pieces of information about a source within the text of the students work. This information is:

− the name of the author or authors
− the year of publication
− the page number

Reference List

At the end of the students work, a List of References must be included. This should include all the books, journal articles and other sources of information you have used to research your assignment. The reference list should be laid out alphabetically and the title of the source should be italicised. Each reference must include:

− the name of the author or authors
− the year of publication
− the title of the publication
− the edition of publication
− the publisher
− place of publication

Common Knowledge

In every field, there is a body of knowledge and material that has become part of the public domain and which can be drawn on without specific acknowledgment. Common knowledge includes facts that are generally known, such as common facts of history, common sense information, accepted folklore and aphorisms that have been adopted as part of common English language.

As examples, it would not be necessary to reference the following:

− That John Howard was the Prime Minister of Australia (common fact of history)
− That humans need food and water for survival (common sense observation)
− That the "Bunyip" is a man-eating Australian animals that live in water-holes, swamps and creeks (accepted folklore)

Cheating

Cheating is defined as "a form of deceit with a view to gaining an advantage for the cheat." At Sydney Global College, cheating is usually related to taking unauthorised material into assessments. Sydney Global College trainers have a responsibility to explain clearly expectations related to any assessment, what constitutes cheating, and to promote a climate of honesty in students.

Staff responsibilities

Sydney Global College staff are responsible to:

− Inform all students of expectations related to assessment;
− Inform all students of referencing techniques and provide clear examples of what is acceptable;
− Explain to students what constitutes plagiarism;
− Set realistic assessment activities and vary assignments and questions;
− Assist students to understand and apply correct referencing techniques;
− Set appropriate conditions for group activities and make clear the distinction between group work and individual work; and
− Cultivate a climate of mutual respect for original work.

Student responsibilities

Students are responsible to:

− Submit only work that is their own or that properly acknowledges the ideas, interpretations, words or creative works of others;

− Avoid lending original work to others for any reason;

− Be clear about assessment conditions and seek clarification if in doubt;

− Be clear about what is appropriate referencing and the consequences of inappropriate referencing;

− Discourage others from plagiarising by observing the practices above.

Dealing with plagiarism

In the case of suspected plagiarism the staff member will report the incident to the Chief Executive Officer. The Chief Executive Officer, in consultation with the staff member will determine if the plagiarism has resulted from poor academic practice or was intentional. This preliminary step may involve an informal interview with the student.

The Chief Executive Officer and staff member will:

− consider the extent of the plagiarism (noting that the more extensive the plagiarism, the more likely it was intentional);

− review the course profile and other information provided to students by the Director of Studies to determine if adequate information had been given;

− identify if the student has been previously warned of plagiarism;

− determine whether the student is new to adult vocational education and training (it would be expected that continuing students would be more likely to understand plagiarism and its consequences);

If the above factors have been considered and it has been determined that the plagiarism has arisen from poor academic practice, the student is to be requested to revise the work and resubmit it for the assessment.

If, after consideration of the above factors it is determined that the plagiarism was intentional, the student's work is not to be accepted and the student is to be issued with an alternative assessment assignment to complete. The student is to be given a formal warning (in writing) by the Chief Executive Officer explaining the seriousness of the incident and the consequences if the student is found to plagiarise again.

Students who commit plagiarism after being formally warned are to be withdrawn from the programme they are enrolled and issued with a refund of their tuition fees less all expenses incurred by Sydney Global College up to the point of their withdrawal.

Recognition of prior learning [National Code Part B Standard 2]

1.0   Purpose

This procedure explains the process of applying for and granting Recognition of Prior Learning (RPL) and the requirements of the National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students.

2.0   Responsibility

The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements.

3.0   Requirements (Policy)

Recognition of Prior Learning (RPL) must be structured to minimize the cost and time to applicants whilst retaining the integrity required by the Standard for Registered Training Organisations to recognize competencies in accordance with the requirements of Training Packages or Curriculum documents, the Principles of Assessment and the Rules of Evidence.

The College must ensure that any applicant RPL is provided with:

- Information about the units and performance criteria relevant to their RPL application;
- Adequate information and support to enable them to gather reliable evidence of competency;
- Opportunities to obtain feedback on the evidence proposed prior to finalisation of the application.

Competencies for which RPL is being requested may have been developed through formal education and training, through work experience or training or through life experiences.

Qualifications and Statements of Attainment issued by any other Registered Training Organisation must be recognised in the RPL process.

A written statement from an appropriate supervisory person is required to confirm authorship of any work submitted.

It is accepted that RPL is an assessment of an individual's current knowledge, skills and attitudes even though the evidence produced in support of the claim for RPL may be drawn from the past. It is up to the RPL assessor to judge whether the evidence produced demonstrates current competency in accordance with the Principles of Assessment and the Rules of Evidence.

Students who are eligible for Credit Transfer under the National Recognition Requirements must not be required to undertake a RPL process. Refer to the National Recognition procedure for Credit Transfer requirements.

4.0   Definitions

Recognition of Prior Learning is the formal acknowledgement of current skills, knowledge and attitudes held as a result of education and training, work experience and/or life experience, it is essentially an assessment only pathway in the VET system.

In this procedure the term "unit" encompasses Units of Competency from a Training Package and Modules from an accredited course.

5.0   Method (procedures)

The College Assessment Policy and National Recognition Policy is to be followed when undertaking RPL assessments

RPL applications are made using the student RPL application form to collect general information about the applicant's background.

Prior to the RPL application being completed and accepted, the College will provide the RPL applicant with access to the relevant units via training.gov.au by either assisting them to access the information on this web site or printing unit of competency details for each unit being considered for RPL.

Prior to the RPL application being completed and accepted, the College will meet with the RPL applicant to:

- Explain the RPL process to the applicant;
- Review the units the applicant is considering applying for;
- Review the evidence the applicant has to support the RPL application; and
- Provide advice to the applicant on how to collect and present evidence to support their application.
- Familiarise the applicant with the RPL Assessment Toolkit

The student RPL application form should be completed and forwarded to the Student Services & Administration Manager along with the RPL application fee.

A copy of the student RPL application form and all verified supporting documentation will be placed on the student file.

The College will review the RPL application and advise the RPL applicant which units the College considers RPL is applicable to and the reason why.

After receiving advice from the College, the RPL applicant will be given an opportunity to amend their RPL application if they so choose.

Whatever the College view, it is entirely the applicant's decision as to which units they will submit an RPL application for.

Once the RPL application is finalised by the student the RPL fee paid is not refundable.

Once the RPL application has been reviewed and finalised the College will appoint qualified assessors to:

- Arrange the RPL assessment schedule with the applicant;
- Conduct the RPL assessments by:
  - i) using the evidence of competency provided by the applicant, and matching the evidence against the unit elements, performance criteria, skills, knowledge, range statement and evidence guide; identify areas of competency which in the assessors opinion are met by the evidence provided;
  - ii) as a corollary of step i) identifying competency, knowledge or skill gaps in the evidence provided by the candidate and providing guidance and an opportunity for the candidate to supply additional evidence of competency;
  - iii) using components of the College assessment tools to provide evidence of competency where gaps still remain. The components of the College assessment tools to be used in this step will be determined by the remaining gaps in competency identified by the assessor and using the assessment mapping tool which is available for each unit to identify the relevant components of the College assessment tools.
- When evidence gathered is outside the parameters and response guide of the College assessment tool, as in step i) above, the assessor is to:
  - i) amend the College assessment mapping document to map the new evidence provided by the RPL applicant
  - ii) record details of the new evidence provided on the RTO RPL Assessment Form.

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

      iii)   note on the College Assessment Summary / Cover Sheet that additional evidence has been gathered, recorded on the RPL form and mapped on the College assessment mapping document for the unit.

- Ensure the Principles of Assessment and the Rules of Evidence are followed in undertaking the RPL assessments;
- Complete the assessment forms for each unit;
- Provide feedback to the applicant for each assessment outcome;
- Complete and sign the Student RPL application form indicating the assessment outcome for each unit;
- Advise the Student Services & Administration Manager of the outcome of the RPL assessment application. Further information or an interview with the student may be required before evaluation of the application is completed.

Students will be advised promptly of the decision and required to sign and date the record of RPL granted on the Student RPL application form

RPL application documentation, assessment processes and outcomes will be placed in the applicants file.

Granting of RPL must be recorded as a unit outcome in the students file.

Student's individual training plans will be adjusted to reflect any RPL granted.

Any course duration reduction as a result of RPL granted to students must be indicated on the Confirmation of Enrolment if granted prior to the issue of a visa **or** on PRISMS if granted after the issue of a visa.

Students may use the College appeal procedures if dissatisfied with the outcome of their RPL applications.

There will be a fee charged for conducting the RPL assessment. The fee is listed in Sydney Global College fee schedule

6.0   **Revision History**

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Recognition Process

```
                                              ┌────────────────────────┐
                                              │  Assessor reviews RPL  │
         ┌──────────────┐                     │  assessment evidence   │
         │    Start      │                    └────────────────────────┘
         └──────────────┘                                │
                │                                         ▼
                ▼                                  ◇ Is further ◇
 ┌────────────────────────┐              ┌────────────────────────┐
 │   Inform learners of   │              │   Assessor advises     │
 │     recognition        │   N          │   candidate of RPL     │
 │     opportunities      │ ◇ evidence ◇─▶│   assessment outcome   │
 │ Must be done pre-       │   required?   └────────────────────────┘
 │ enrolment              │      │ Y
 └────────────────────────┘      ▼
                │          ┌────────────────────────┐
                ▼          │   Assessor advises     │
 ┌────────────────────────┐│   candidate of         │
 │   Learner indicates a  ││   additional           │
 │   recognition request  ││   requirements         │
 │   at enrolment         │└────────────────────────┘
 └────────────────────────┘          │
                │                     ▼
                ▼              ◇ Can recognition ◇
 ┌────────────────────────┐    │ be granted? │──── N ────┐
 │  Learner is provided   │    └─────────────┘           │
 │  with an RPL           │         │ Y                  │
 │  application...        │         ▼                    │
 └────────────────────────┘  ┌────────────────┐          │
                │            │ Assessor advises │          │
                ▼            │ candidate of other│         │
 ┌────────────────────────┐  │ assessment options│         │
 │ Learner enrols and     │  │ and the appeals   │         │
 │ submits RPL application│  │ process           │         │
 └────────────────────────┘  └────────────────┘          │
                │                     │                    │
                ▼                     ▼                    │
 ┌────────────────────────┐  ┌────────────────────────┐   │
 │ Assessor reviews self- │  │ Assessor reports RPL   │◀──┘
 │ assessment             │  │ assessment results to  │
 └────────────────────────┘  │ Administration         │
                │            └────────────────────────┘
                ▼                     │
 ┌────────────────────────┐           ▼
 │ Assessor meets with    │  ┌────────────────────────┐
 │ candidate...           │  │ RPL outcomes recorded  │
 └────────────────────────┘  │ into the SMS...        │
                │            └────────────────────────┘
                ▼                     │
 ┌────────────────────────┐           ▼
 │ Candidate compiles and │     ┌──────────────┐
 │ submits RPL evidence   │     │     End       │
 └────────────────────────┘     └──────────────┘
```

Note: Flowchart "Recognition Process". Boxes read as follows:

- **Start**
- Inform learners of recognition opportunities — *Must be done pre-enrolment*
- Learner indicates a recognition request at enrolment
- Learner is provided with an RPL application and invited to complete an optional self-assessment prior to enrolment
- Learner enrols and submits and RPL application — *A learner can apply for recognition at any time*
- Assessor reviews self-assessment, if available
- Assessor meets with candidate and conducts an assessment planning interview
- Candidate compiles and submits RPL assessment evidence
- Assessor reviews RPL assessment evidence
- Is further evidence required? → **N**: Assessor advises candidate of RPL assessment outcome; → **Y**: Assessor advises candidate of additional requirements
- Can recognition be granted? → **N**: Assessor advises candidate of other assessment options and the appeals process; → **Y**: Assessor reports RPL assessment results to Administration
- RPL outcomes are recorded into the SMS, advise the candidate of reduced course duration and update Coe and PRISMS
- **End**

Records management [National Code Part B Standard 11]

1.0   Purpose

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

- Assure the integrity, accuracy and currency of records
- Maintain up to date records of the verified qualifications and experience of trainers and assessors
- Maintain up to date records of enrolments and attendance
- Keep the Regulatory Agency and students informed of important changes to the College operations.

2.0   Responsibility

The Student Services & Administration Manager is responsible for this procedure and to ensure that staff and students are aware of the application of this procedure and that staff implement its requirements.

3.0   Requirements (Policy)

Student records must be retained and archived for 30 years in a form that is suitable for retrieval and transfer to third parties and in accordance with the requirements of the Regulatory Agency.

An AVETMISS compliant student database has been purchased (aXcelerate), maintained and backed up according the Data Backup procedure.

Confidential information obtained by the College and committees individuals or organisations acting on behalf of the College must be safeguarded

Except as required under the VET Quality Framework or by law, information about students and staff is not disclosed to third parties without written consent of the student or staff member.

Students and staff members are entitled to access their personal records.

Evidence of verification of the qualifications and experience of assessors and trainers must be maintained.

3.1   Document registers and the material listed in the College version control folder must be readily accessible to any person required to perform any function for the College.

3.2   AQF certification documents (statements of attainment, awards, and record of results) must be issued within 30 days of course completion.

3.3   A register of all AQF qualifications issued, Records of Results issued and Statements of attainments issued will be maintained by the RTO in the AVETMISS compliant data base for 30 years in a form that is suitable for retrieval and transfer to third parties and in accordance with the requirements of the VET Regulatory. This will be achieved via regular uploads of AVETMISS compliant data in accordance with the Data Provision Requirements;

3.4   The RTO will provide AQF qualifications issued, Records of Results issued and Statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator. This will be achieved via regular uploads of AVETMISS compliant data in accordance with the Data Provision Requirements of the VET Regulator.

3.5   A registered training organisation must not issue either of the following to an individual unless the individual has been assigned a student identifier:

- a VET qualification (within the meaning of the National Vocational Education and Training Regulator Act 2011);
- a VET statement of attainment (within the meaning of that Act).

3.6   Where a student has an exemption from the USI requirement under the Student Identifiers Act, the RTO will inform the student prior to either the completion of the enrolment or commencement of

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Student Identifiers Registrar.

RTOs must **not** include the learner's Student Identifier on AQF qualifications issued, Records of Results issued and Statements of attainment issued, consistent with the *Student Identifiers Act 2014*

4.0   Definitions

Regulatory Agency is the Federal, State or Territory government body which has jurisdiction to approve and maintain RTO registration of the College.

5.0   Method (Procedures)

Academic records

Application forms are completed and filed for all students. Data from the application form is entered on to the student records database.

Competency records for each unit are maintained by trainers, signed and dated by the trainer and then forwarded to the Director of Studies at the end of each study period.

Based on the competency records forwarded by trainers at the end of each study period the achievement of units of competency for each student is recorded on the student records database by the Director of Studies, or whoever the Director of Studies delegates to undertake this task.

When it is believed that a student has completed all competencies required for the issuing of an award a transcript is printed and sent to the Director of Studies for review and checking.

Students completing one or more units / modules but not a complete qualification will be issued a Statement of Attainment on completion of their studies or upon withdrawing from a course.

When it is believed that a student is eligible for the issuing of a Statement of Attainment a transcript is printed and sent to the Director of Studies for review and checking.

A trainer in the program and the Director of Studies must verify eligibility for an Award or a Statement of Attainment.

Verification requires checking student module / unit completions against the qualification requirements or packaging rules in the curriculum / training package. Applicable rules will be those that applied at or after the time of enrolment up until the time of completion.

After verification of eligibility an Award or Statement of Attainment will be prepared and issued to the student.

The date of issue, title of the Award or Statement of Attainment, and sequence number of the document is recorded in the student records database.

The student records database is backed up nightly off the College network and stored offsite.

In June each year lodge data following the ASQA requirements for the quality indicator system for training activities completed in the previous calendar year:

- the number of enrolments for each qualification code
- the number of qualifications completed for each qualification code
- the number of enrolments for each unit of competency or module
- the number of units completed for each unit of competency or module
- an indication of offshore operations.

Address and contact details

Remind students in writing at the beginning of their course and by notices posted on notice boards of the requirement to advise the College of their current contact details, including residential address, postal address, mobile phone number and email address.

Maintain the current residential address as supplied by the student in the student records database.

At least once every six months require students to review and update their current contact details, including residential address, postal address, mobile phone number and email address.

Assessment and training staff

Copies of up-to-date CVs of assessing and training staff must be maintained on file and reviewed in accordance with the continuous improvement procedure. Staff CVs must be signed and dated by the staff member.

The assessors and trainers CVs must include copies of qualifications and information about relevant experience.

Trainers with overseas qualifications must have them assessed by a recognised assessing authority against the Australian Qualifications Framework. A list of the officially recognised assessing authorities is available at https://www.border.gov.au/Trav/Work/Work/Skills-assessment-and-assessing-authorities/skilled-occupations-lists/SOL. Overseas qualifications can also be assessed by some state government authorities. A list of the state government assessment authorities can be found at http://www.border.gov.au/Trav/Work/Work/Australian-Skills-Recognition-Information-(ASRI)

Evidence of verification of qualifications and experience must be maintained and filed with CVs using the verification checklist.

Trainer competencies must be mapped against the units they are training and assessing in in a way that demonstrated the trainer is competent to train and assess each unit.

Confidentiality and access to records

Student Information is collected in order to meet obligations under the ESOS Act and the National Code 2007; and to ensure student compliance with the conditions of their visas and their obligations under Australian immigration laws generally. The authority to collect this information is contained in the Education Services for Overseas Students Act 2000, the Education Services for Overseas Students Regulations 2001 and the National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007. Information collected can be provided, in certain circumstances, to the Australian Government and designated authorities and, if relevant, the Tuition Protection Service. In other instances information collected can be disclosed without student consent where authorised or required by law.

Students wishing to access their own records must put the request in writing to the Student Services & Administration Manager using the Student records request form

The Student Services & Administration Manager will then arrange for supervised access at a mutually suitable time.

Students must view their records at the College and cannot take records away from the College.

Data backup procedure

Data files and documents are stored on a server and are to be backed up using the backup utility that comes with Microsoft XP or a similar third party product

The backup media is external hard disk drive units (HDD)

The backup routine is to be a 3 disk routine which will require 3 external hard disk drive units. One HDD is required for a daily incremental backup and is stored on-site, and two HDDs are required for full weekly backups which are stored off site

Each external hard disk drive unit must be clearly labelled as follows

- HDD1 – Daily / Incremental Backup / On Site / Fireproof Safe
- HDD2 – Weekly Full Backup / Odd Numbered Weeks / External
- HDD3 - Weekly / Full Backup / Even Numbered Weeks / External

Incremental Backup — backup of all changes since last incremental backup, therefore, the first day follow your full backup will include the changes for that day. The second days incremental would only include changes that day.

Full Backup — backup of all files in the critical file set

On-site storage — Onsite storage of incremental backup disks will be far enough away from the system, in a fireproof safe, so that if the system is destroyed in an accident, the backup copy will not suffer the same fate.

Off-site — Off-site storage of disks will be a separate physical location using a service provided by a data storage company that picks up the backup disk each Friday.

The backup routine is as follows:

- HDD1 = Monday-Tuesday-Wednesday-Thursday backup of daily file changes. (Incremental Backup)
- HDD2 = Odd week Friday backup of all files, stored securely off-site (Full Backup)
- HDD3 = Even week Friday backup of all files, stored securely off-site(Full Backup)

Notification to the Australian Skills Quality Authority (ASQA)

5.1 The College Chief Executive Officer or whoever may be acting in place of the Chief Executive Officer at the applicable time must report the following matters to the Australian Skills Quality Authority. Many of these notifications can be lodged using forms on the ASQA website. The website address is http://www.asqa.gov.au/

- Notify the Australian Skills Quality Authority (ASQA) of any changes to contact details and changes or events that affect the operation of the RTO. RTOs must notify ASQA of these changes as soon as practicable after they happen (preferably within 20 working days) and without being requested to do so. The changes covered by this requirement are listed below:
  - registered training name/s
  - address and/or contact details of the RTO's head office
  - principal place of business (if different from the head office)
  - contact details of chief executive officer or equivalent person
  - contact details of 'day-to-day' contact person
  - contact details of high-managerial agents
  - location and/or contact details of permanent delivery sites (for delivery to domestic students only)
  - commencement or cessation of offshore delivery
  - commencement of delivery in other states or territories
  - financial status (for example, bankruptcy or liquidation)
  - Fit and Proper Person Requirements
  - legal entity which has the registration
  - sale of the RTO
  - ownership and/or control (shareholding, directorship other officeholders)
  - legal name but not in legal entity
  - organisation type
  - Significant or unexpected turnover of staff

- – When commencing or dissolving written agreement with another organisation to deliver services on the RTOs behalf. The notification to ASQA has to occur within 30 days of commencement and dissolution.
    - – any intention to relocate premises (including the head office and campus locations) at least 20 working days before the relocation if international students are affected by the relocation.
    - – other changes not specified elsewhere
- The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:
    - – currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
    - – has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.
- Where possible ASQA should be notified of some impending changes prior to their taking place, for example, change of ownership, legal entity or financial status
- To inform its risk management processes, ASQA may also ask an RTO to provide data at any time throughout the RTO's period of registration. The types of data that ASQA may request include:
    - – business registration records
    - – documents demonstrating the organisation's financial viability
    - – information demonstrating how relevant people associated with the organisation satisfy the Fit and Proper Person Requirements
    - – information on strategies, facilities and other materials used to conduct training and assessment
    - – documents demonstrating trainers' credentials
    - – information about delivery operations (e.g. modes, venues, funding, student types, activity conducted)
    - – evidence to demonstrate appropriate records management systems
    - – public liability insurance coverage
    - – the names of current or past students, who may be surveyed about satisfaction levels.
- Addition to scope or removal from scope of training package qualifications, units of competency, skill sets or accredited courses
- Registered training organisations (RTOs) must submit an application to renew their registration at least 90 days prior to the expiry date. This is a requirement of the National Vocational Education and Training Regulator Act 2011.
- RTOs are required to provide annual summary reports on quality indicator data about client satisfaction and students' attainment of competencies.
- A registered training organisation (RTO) may withdraw its registration by giving written notice to the Australian Skills Quality Authority (ASQA).
- Any prospective changes to the ownership of the registered provider as soon as practicable prior to the change taking effect.
- Any prospective or actual change to the high managerial agents (as defined in section 5 of the ESOS Act) of the registered provider as soon as practicable prior to the change taking effect or within 10 working days of the change taking effect where the change cannot be determined until it takes effect.
- Information on new owners or high managerial agents for the purpose of making an assessment under section 9(6) of the ESOS Act.

- Registered training organisations (RTOs) can use the ASQA on-line system, ASQAnet to make the following applications:
  - Application to renew RTO registration
  - Application to change scope of RTO registration
  - Application to withdraw RTO registration.

Notification to the Department of Education or the Department of Immigration and Border Protection

5.2   Record the following course variations within 14 days of the event **and** in accordance with ESOS requirements and procedures documented in the PRISMS User Manual
- Student Completed Course (Early)
- Student Did not Commence Course
- Student Course Cancelled (Provider Still Operating)
- Student Left Provider (Transferred to Course at another Provider)
- Student Failed to Meet Course Requirements
- Student Unable to Start Course (Course Suspended)
- Student Enrolled in Same/Another Course (at the same Provider)
- Student Deferring/Postponing Studies
- Student Notified Cessation of Studies
- Changes to the identity or duration of a course
- Any other prescribed matters

5.3   Include copies of any variations made in individual student files

Notification to students

- Any intention to relocate premises (including the head office and campus locations) at least 20 working days before the relocation if international students are affected by the relocation.
- Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
  - Informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
  - Regularly updates the complainant or appellant on the progress of the matter.
- Where applicable for international students, that actions requested by the student or actions about to be undertake by the RTO may adversely affect the status of the student's visa and if they require more information to contact a Department of Immigration and Border Protection office or phone the Department of Immigration and Border Protection helpline 131 881.
- Unsatisfactory course progress
- Breaches of the student behaviour requirements
- Assessment outcomes
- Any other matters which may affect the student's capacity to successfully complete their course.

Testamur Security Policy

5.4   All testamurs (certificates and statements of attainment) are to be printed on templates prepared by a commercial printer on specialty paper stock.

5.5   The templates may include a unique pre-printed watermark.

5.6   Each testamur, (certificate or statement of attainment) is to be embossed **after printing** with the RTO logo and the Chief Executive Officer signature.

5.7   Each testamur, (certificate or statement of attainment) will include the following advice. "The authenticity of this certificate can be verified free of charge by contacting the Sydney Global College Ph: (02) 9954 4243"

5.8   Testamurs, (certificates and statements of attainment) will only be reissued after applicants:

- supply a statutory declaration indicating the reasons for applying for a reissue; and
- confirm their identity using the 100 points system of identification service provided to businesses by Australia Post - http://auspost.com.au/business/in-person-id-checks.html
- The reissue is approved by the Chief Executive Officer or a person specifically nominated by the Chief Executive Officer to approve a reissued testamur.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Records Archiving and Completion Process
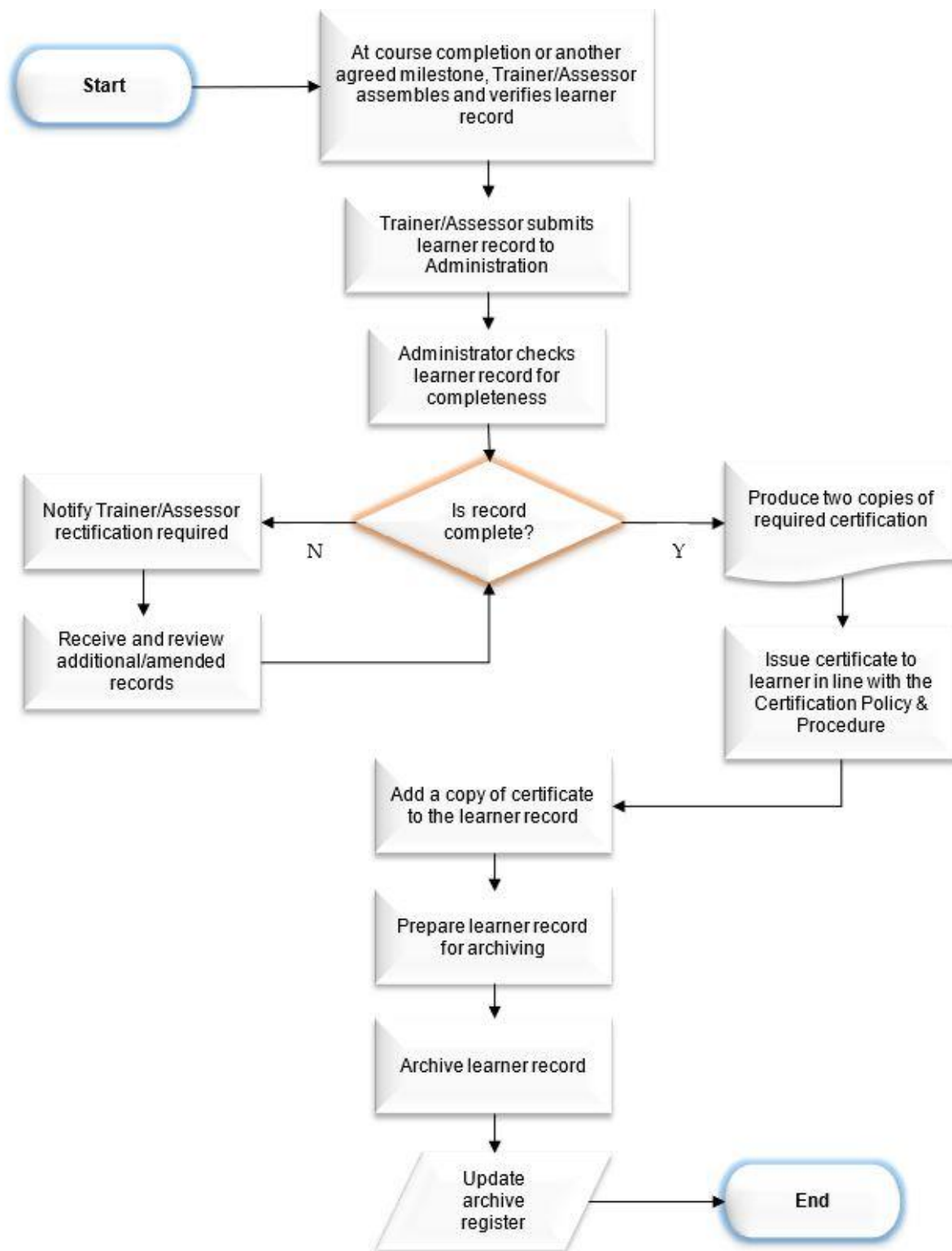
Staff recruitment, induction, review and development

1.0 Purpose

This procedure explains the process of recruiting, induction, ongoing development and monitoring of College staff

2.0 Responsibility

The Student Services & Administration Manager and the Director of Studies is responsible for this procedure and to ensure that staff and students are aware of the application of this procedure and that staff implement its requirements

3.0 Requirements (Policy)

The procedure is designed to ensure that:

- New staff are qualified and experienced to perform their duties;
- Relevant information about the College and its obligations under the VET Quality Framework, are communicated and understood by new and existing staff;
- Existing staff are provided with development opportunities appropriate to their role with the College;
- Staff performance is monitored and communicated to each employee.

4.0 Definitions

N/A

5.0 Method (Procedures)

Initial Staffing Profile

Staffing arrangements are maintained in accordance with the following guidelines based on full-time staff working a 38 hour week.

- Generally student group sizes will be up to 25 students in group learning situations.
- Each trainer can take on a maximum load of 25 students subject to their availability and agreement
- 1 Chief Executive Officer who will be responsible for the operation of the business, and all compliance, legislative and regulatory requirements. This role will initially be undertaken on a part-time-time basis.
- 1 Director of Studies who will initially take on the roles of Director of Studies, Trainer and this role will initially be undertaken on a part-time basis.
- 1 Student Services & Student Services & Administration Manager who will take on the roles of Administration, Finance, marketing and Student Contact. This role will initially be undertaken by the CEO.

Staffing Growth

Growth in student numbers will be accommodated by:

- Employing additional trainers;
- Appointing a person to the Student Services & Administration Manager and Student Administration roles.
- Appointing support staff to assist the Chief Executive Officer, the Director of Studies and the Student Services & Administration Manager roles.
- Employing a Compliance Officer

5.1   Entering partnership, third party or brokering arrangements for delivery of training services will be accommodated by:

- Employing administrative field staff to undertake enrolments, pre-training reviews, collection and review of training and assessment records by liaising and visiting training locations conducted by partners, third parties or brokers
- Employing qualified trainers to work in the field observing, mentoring and reporting on training and assessment services offered by partners, third parties or brokers
- Employing additional compliance people to monitor compliance of the partners, third parties or brokers as described in the RTO Memorandum of Understanding and the RTO Responsibility Matrix

These additional appointments will be made based on the work volume of the existing staff so that the College Code of Practice and compliance requirements can always been met.

Recruitment

New staff will be recruited through advertising in the press or from other sources available to the College

All applicants will have to supply a resume and copies of relevant qualifications

Applications will be reviewed for compliance with the requirements of the position

Trainers and assessors will need to meet the qualification requirements contained in the Standards for Registered Training Organisations

Applicants will be short-listed and interviewed

Preferred training staff applicants will have their qualifications and experience verified and signed off by The Director of Studies

Preferred administrative staff applicants will have their qualifications and experience verified and signed off by the Director of Studies

Training staff must have their competencies assessed, mapped and signed off as satisfactory by the Director of Studies.

Induction

Induction will occur before each staff member completes the first week of their employment.

5.2   The Student Services & Administration Manager will induct administrative staff and the Director of Studies will induct teaching staff. The induction will be conducted in accordance with the requirements of the induction checklist and include the following actions:

- Review and explain the contents of the College Information Handbook
- Review and explain the requirement of the duty statement
- Review and explain the College Policies and procedures Handbook and the staff role in implementing its requirements particularly ESOS requirements including student course progress requirements, mutual recognition and recognition of prior learning
- Review and explain the College Organisation chart
- Review and explain the College strategies for training and assessment
- Review and explain the College learning and assessment resources
- Review and explain the implications of Relevant legislation
- Review and explain the CRICOS National Code, the implications of the National Code for students and the responsibility of staff to implements it requirements

- Review and explain the potential implications for students and students visa status arising from non-attendance, unsatisfactory progress, non-payment of fees, breaching the Student Code of Behaviour, not completing within the expected duration of study and engaging in copyright breaches, cheating or plagiarism.

Professional development

Training staff qualifications and experience will be reviewed annually against the requirements of the Standards for Registered Training Organisations, curriculum documents and training packages.

All staff will undertake annual professional development activities to ensure them:

- Access, understand and implement policies and procedures in a consistent manner.
- Are aware of, and understand legislation that significantly affects their duties.
- Are aware of and implement the requirements for mutual recognition of the AQF qualifications and Statements of Attainment awarded by other College.
- Are aware of and implement the College equity and client service principals as outlined in the Code of Practice
- Maintain their vocational competencies at a level required to train and assess competencies.
- Maintain their Training and Assessment competencies in line with the requirements currently required by the current National Skills Standards Council guidelines.

All staff development activities will be reviewed annually and logged by the Director of Studies.

Any requirements for additional qualifications, experience or special skills will be identified during the annual review for implementation in the following year.

Staff monitoring

5.3   The Director of Studies and the Student Services & Administration Manager will meet with staff individually once per year to

- review duties, expectations, development activities and performance goals
- review College policies and procedures
- review the VET Quality Framework compliance requirements
- alert staff to the consequences of non-compliance with College policies and procedures and duties
- review and refresh staff knowledge and understanding of all items on the current staff induction checklist
- check that staff continue to understand the CRICOS National Code, the implications of the National Code for students and the responsibility of staff to implements its requirements
- check that staff continue to understand the potential implications for students and students visa status arising from unsatisfactory progress, non-payment of fees, breaching the Student Code of Behaviour, not completing within the expected duration of study and engaging in copyright breaches, cheating or plagiarism.

The Director of Studies will maintain a log of the annual review meeting

Director of Studies will monitor staff performance continuously and provide counselling and feedback where appropriate

Trainer and Assessor Qualification Requirements

5.4 Trainers and Assessors of the College will have:

- Demonstrated vocational competencies at least to the level of those being delivered and assessed;

- Industrial and / or workplace experience and skills that are current and relevant to the particular courses or modules that they are involved in delivering or assessing.

- For Trainers, demonstrated achievement of TAE40110 Certificate IV in Training and Assessment or a diploma or a higher level qualification in adult education, or until 31 December 2017, demonstrated equivalent competencies to on of the two qualifications required;

- For Assessors, demonstrated achievement of at least the assessor competencies (TAEASS401, TAEASS402 and TAEASS403) from the TAE40110 Certificate IV in Training and Assessment or, until 31 December 2017, demonstrated equivalent competencies;

- An individual who is not a trainer or assessor can be employed to work under the supervision of a trainer provided:
    - They do not determine assessment outcomes
    - They have demonstrated vocational competencies at least to the level of those being delivered and assessed;
    - They have industrial and / or workplace experience and skills that are current and relevant to the particular courses or modules that they are involved in delivering or assessing.
    - They hold one of the following Skill Sets, TAESS00007, or TAESS00008, or TAESS00009 or, until 31 December 2015, demonstrated equivalent competencies
    - The RTO ensures the training and assessment complies with Standard 1
    - The RTO puts in place the level of supervision required to ensure the training and assessment complies with Standard 1
    - The RTO implements any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence to ensure the training and assessment complies with Standard 1
    - The RTO ensures that trainers providing supervision, monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

Student attendance

1.0 Purpose

1.1 The purpose of this procedure is to outline the system used for ensuring students to meet the attendance requirements when the monitoring attendance policy is set as a condition of registration by the national regulator.

2.0 Responsibility

2.1 The Student Services & Administration Manager is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and implement its requirements.

3.0 Requirements (Policy)

3.1 Under the requirement of the National Code 2018, attendance monitoring is no longer a requirement to be complied with. VET providers will only need to monitor attendance of students if this is set as a condition of registration by the national regulator.

3.2 Once the attendance policy is set as a condition for Sydney Global College, students are required to adhere to the Sydney Global College student attendance requirements applicable to their course at all times. The requirements for achieving satisfactory attendance (which requires overseas students to attend at least 80 per cent of the 20 scheduled face to face course contact hours each week).

4.0 Definitions

4.1 Study period means one term of study

5.0 Method (Procedures)

5.1 Trainers must use the Student daily attendance record to record student attendance at each scheduled class and note early departures and late arrivals.

5.2 The Student Services and Administration Manager will use the attendance spreadsheet to collate and review each student's attendance on a fortnightly basis based on the trainer attendance records.

5.3 If a student presents a medical certificate for absences record it as an absence with medical certificate (amc), count it as an absence and copy the medical certificate into the students file.

5.4 Trainers **must** report, in writing, to the Director of Studies the details of any student who has missed 5 consecutive days **without delay**.

5.5 If a student is absent for 5 consecutive days or in any other way has an attendance record that may be detrimentally affecting the students capacity to complete the assessment requirements for a unit, or complete the qualification within the expected duration of study, then the provisions of the Completion Within the Expected Duration of Study and the Course Progress and Intervention Strategy procedures must be implemented by Sydney Global College.

5.6 The process for determining the point at which the student has failed to meet satisfactory attendance, and procedure for notifying students who has failed to meet satisfactory attendance requirements.

    a) Students will be given first warning letter if:

- A student has been absent for five consecutive days; or
- A student's actual attendance to date has fallen below 90% at the end of the fortnight; or
- A student has inconsistent attendance in the previous fortnight: or
- are identified by the trainer as not progressing satisfactorily through the course material.

Action will be taken:
- Send a letter, warning students that it is a requirement of their VISA that 80% attendance must be achieved each term and semester; and
- Conduct a counselling interview with the student in accordance with the attendance procedure.

b) Students will be given second warning letter if:
- A student's projected attendance has fallen below 80% for the study period

Action will be taken:
- Send a letter, warning students that it is a requirement of their VISA that 80% attendance must be achieved each term and semester; and
- Conduct a counselling interview with the student in accordance with the attendance procedure; and
- Implement an intervention strategy in accordance with the attendance procedure.

c) Students will be given intention to report letter if:
- A student's projected attendance has fallen below 80% for the study period and their academic progress is unsatisfactory; or
- The College has determined that the student is not meeting the requirements of the intervention strategy; or
- A student's projected attendance has fallen below 70%.

Action will be taken:
- The College must notify the student in writing of its intention to report the student for not achieving satisfactory attendance in accordance with the attendance procedure.

5.7   The following records must be retained for at least two years from the date the student's enrolment ends:
* Attendance records retained in student management system (aXcelerate)
* Student contact and counselling records (for example, warning letters)
* Notices of intention to report
* Complain and appeals outcome, and
* other relevant attendance records

5.8   Students are expected to take breaks only during the designated term breaks. These dates are provided on the student timetable, website and student handbook. Any other breaks are to be negotiated with the Student Services & Administration Manager.

6.0   Revision history

Revision	Date	Description of modifications
1		
3		
4		
5		

Student behaviour

1.0   Purpose

The purpose of this procedure is to outline the system used for ensuring students meet the behaviour requirements of the College.

2.0   Responsibility

The Director of Studies is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and implement its requirements.

3.0   Requirements (Policy)

Students are required to adhere to the College Student Code of Behaviour at all times

The Director of Studies must, prior to implementation, approve any discipline actions arising from breaches of the Student Code of Behaviour

Any decision by the Director of Studies in relation to student discipline can be appealed using the Student Complaints and Appeals procedure

The Student Code of Behaviour requires the following rights and expectation to be respected and adhered to at all times.

- The right to be treated with respect from others, to be treated fairly and without discrimination, regardless of religious, cultural, racial and sexual differences, age, disability or socio-economic status
- The right to be free from all forms of intimidation
- The right to work in a safe, clean, orderly and cooperative environment
- The right to have personal property (including computer files and student work) and the College property protected from damage or other misuse
- The right to have any disputes settled in a fair and rational manner (this is accomplished by the Complaints and Appeals Procedure)
- The right to work and learn in a supportive environment without interference from others
- The right to express and share ideas and to ask questions
- The right to be treated with politeness and courteously at all times
- The expectation that students will not engage in copyright breaches, cheating or plagiarism
- The expectation that students will submit work when required.
- The expectation that students will at all times meet the requirements, terms and conditions contained in the Student application and enrolment form including payment of fees.
- The expectation that students will attend all required classes and assessment as part of the requirement to progress through the course satisfactorily and complete the course in within the time frame notified in the Student application and enrolment form.

4.0   Definitions

N/A

5.0   Method (Procedures)

For non-compliance with the Student Code of Behaviour the following procedure for discipline will be followed except in situations where the CEO determines that the behaviour is sufficient to warrant expulsion. Where a student has been expelled they will be unable to attend class however they will have a right of appeal under the Appeals Procedure.

- A member of the College staff will contact students in the first instance and arrange a counselling meeting to discuss the issue or behaviour & to determine how the issue might be rectified. This meeting and its outcomes will be documented, signed by all parties and included on the student's personal file. (Step 1)

- Where there is a second breach of the Student Code of Behaviour, students will be invited for a personal interview with the Director of Studies to discuss the breaches further. This meeting and its outcomes will be documented, signed by all parties and included on the student's personal file. (Step 2)

- Should a third breach of the Student Code of Behaviour occur after the stage 2 meeting, the student will be provided with a final warning in writing & a time frame in which to rectify the issue. A copy of this letter will be included on the student's personal file. (Step 3)

- After the three steps in the discipline procedure have been followed, and breaches of the Code of Behaviour still continue, training services will be withdrawn and the student will be sent a student cancellation warning letter.

- Failure to attend scheduled meetings may result in Sydney Global College deciding to cancel a student's enrolment

- If Sydney Global College intends suspending or cancelling the student's enrolment where it is not at the student's request, the student must be informed they have 20 working days to appeal to Sydney Global College. If the appeal is not upheld or the student withdraws from the appeal process then Sydney Global College must report the student to the Department of Education and the Department of Immigration and Border Protection via PRISMS. The suspension or cancelling of the student's enrolment cannot take effect until the appeal process is completed unless there are extenuating circumstances relating the student's welfare.

- Suspension or cancellation of your enrolment has to be reported to the Department of Education and the Department of Immigration and Border Protection and may affect the status of a students' VISA.

- At any stage of this procedure students are able to access Sydney Global College complaints and appeals procedure to settle any disputes that may arise.

6.0   Revision history

Revision	Date	Description of modifications
1		
3		
4		
5		

Student complaints and appeals (National Code Part B Standard 10]

1.0   Purpose

1.1   The purpose of this procedure is to define the system available to students for dealing with student complaints and appeals

2.0   Responsibility

2.1   The Student Services and Administration Manager is responsible for implementation of this procedure and ensuring that staff and students are made aware of its application.

3.0   Requirements (Policy)

3.1   This procedure is designed to enable complaints to be made and resolved involving any or all of:
   - the RTO, its trainers, assessors or other staff;
   - a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or
   - a learner of the RTO.

3.2   Students who are concerned about the conduct of Sydney Global College are encouraged to attempt to resolve their concerns using this procedure.

3.3   The procedure will be implemented at no cost to the student.

3.4   The procedure will commence within 5 working days of the formal lodgement of the complaint or appeal and supporting information

3.5   Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
   - Informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
   - Regularly updates the complainant or appellant on the progress of the matter.

3.6   All prospective students will be provided with information about the complaints and appeals procedure before making an agreement to enrol.

3.7   All complaints and appeals will be handled professionally and confidentially in order to achieve a satisfactory resolution that is fair and equitable to all parties.

3.8   Students will be provided with details of external authorities they may approach, if required

3.9   At any stage in the internal complaint or appeal process students are entitled to have their own nominee included to accompany and support them.

3.10   Students may raise any matters of concern relating to training delivery and assessment, the quality of the teaching, student amenities, discrimination, sexual harassment and other issues that may arise.

3.11   For complaints and appeals:
   - The student will have an opportunity to formally present their case, in writing or in person at no cost to the student
   - The student may be accompanied and assisted by a support person at any relevant meetings.
   - Students will be notified in the event that any complaint or appeal will take longer than 60 days to finalise.
   - At the conclusion of the complaint or appeal the student will be given a written statement of the outcome, including details of the reasons for the outcome and the record of the complaint and outcome will be placed in the student file.

3.12 The following matters must be lodged as formal internal appeals within 20 working days of notification of an intention to report the student to the Department of Education and the Department of Immigration and Border Protection in order to be considered by Sydney Global College.
- Deferral of commencement, suspension or cancelling a student enrolment
- Non achievement of satisfactory course progress
- Non achievement of course attendance requirements

3.13 A student's enrolment must be maintained whilst a complaint, internal appeal and external appeal is in progress and the outcome has not been determined except in cases where Sydney Global College is intending to defer or suspend a student's enrolment due to misbehaviour or to cancel the student's enrolment. (see the next requirement)

3.14 In cases where Sydney Global College is intending to defer or suspend a student's enrolment due to misbehaviour or to cancel the student's enrolment Sydney Global College only needs to await the outcome of the internal appeals process (supporting Sydney Global College) before notifying the Department of Education and the Department of Immigration and Border Protection through PRISMS of the change to the student's enrolment unless extenuating circumstances relating the a student's welfare apply.

3.15 Extenuating circumstances' relating to the welfare of the student must be supported by appropriate evidence and may include, but are not limited to the student:
- having medical concerns, severe depression or psychological issues which lead Sydney Global College to fear for the student's wellbeing;
- having engaged or threatens to engage in behaviour that is reasonably believed to endanger the student or others; or
- being at risk of committing a criminal offence

3.16 Sydney Global College will encourage the parties to approach a complaint or appeal with an open view and to attempt to resolve problems through discussion and conciliation. Where a complaint or appeal cannot be resolved through discussion and conciliation, we acknowledge the need for an appropriate external and independent agent to review the process implemented by Sydney Global College.

3.17 If there is any matter arising from a student informal complaint, formal complaint or appeal that is a systemic issue which requires improvement action this will be reported in writing (via email to the CEO) to Sydney Global College Management Group meeting so the matter can be recorded in Sydney Global College Complaints Register and be used as part of the continuous improvement activities of Sydney Global College.

3.18 Nothing in this procedure inhibits student's rights to pursue other legal remedies. Students are entitled to resolve any dispute by exercising their rights to other legal remedies. Students wishing to take this course of action are advised to:
- Contact a solicitor; or
- Contact the Legal Aid NSW on 1300 888 529 for information about your legal problem and contact details for services that might be able to assist you.

4.0 Definitions

4.1 N/A

5.0   Method (Procedures)

Informal Complaint Process

5.1   Any student with an issue, question or complaint may raise the matter with staff of Sydney Global College and attempt an informal resolution of the question or complaint.

5.2   Students with an issue, question or complaint can arrange a meeting to discuss the matter with one of the following Institute staff members who are responsible to try and resolve the issue, question or complaint with the student:
- Trainer
- Director of Studies
- Student Services & Administration Manager

5.3   If there is any matter arising from a student informal complaint that is a systemic issue which requires improvement action this will be reported by the staff member, in writing (via email to the CEO) to Sydney Global College Management Group meeting so the matter can be recorded in Sydney Global College Complaints Register and be used as part of the continuous improvement activities of Sydney Global College.

5.4   The staff member will try and resolve the complaint at the meeting or if required investigate the matter and then arrange another meeting with the student to discuss the outcome of investigation and offer a solution if appropriate.

5.5   Students who are not satisfied with the outcome of their discussion of the issue, question or complaint are encouraged to register a formal complaint by:
- Obtaining a copy of the Student complaint form which can be found in the reception desk
- Completing the Student complaint form
- Lodging the Student complaint form with the Student Services & Administration Manager

Students having difficulty completing the Student complaint form should ask a trainer or Student Services & Administration Manager to assist them

Once the Student complaint form is lodged with the Student Services & Administration Manager it will be dealt with as described in the formal complaint process below.

Formal Complaint Process – preamble

5.6   The formal complaint process will commence within 5 working days of the formal lodgement of the complaint or appeal and supporting information

5.7   A maximum time of 10 working days from the commencement of the formal complaint process will be allowed for the resolution unless all parties agree in writing to extend this time. This period is called the resolution phase.

5.8   Formal complaints must be lodged using the Student complaint form which can be found in the reception desk.

5.9   Formal complaints must be recorded in Sydney Global College Complaints Register

Formal Complaint Process – general complaints

5.10   Students who are not satisfied with the outcome of the informal process, or, who want to register a formal complaint may do so at any time by.
- Obtaining a copy of the Student complaint form which can be found in the reception desk.
- Completing the Student complaint form
- Lodging the Student complaint form with the Student Services & Administration Manager.

Once completed the complaint form is to be lodged with the Student Services & Administration Manager who will arrange for the complaint to be entered on Sydney Global College complaint register and meet with the student to discuss the complaint with the student.

5.11   During the formal complaint process:
- Students will have an opportunity to formally present their case to the Student Services & Administration Manager, in writing or in person at no cost to the student
- Students may be accompanied and assisted by a support person at any meetings involving the complaint.

Complaints can only be dealt with by the Student Services & Administration Manager. Whoever does hear the complaint must not be the subject of the complaint and cannot be involved in subsequent appeal hearing.

The role of the Student Services & Administration Manager is to:
- Assist the student register their formal complaint
- Ensure the resolution phase commences within 5 working days of the written complaint being lodged
- Provide the student, or the students representative, with an opportunity to present their complaint
- Ensure they fully understand the student's complaint
- Work with the student to identify how the complaint can be resolved to the satisfaction of the student
- Consult and negotiate with the all parties involved with the complaint in order to obtain their commitment and agreement to the proposed solution
- Formally document the resolution to the complaint including reasons for the method of resolution and provide the student with a written copy of the document
- Arrange for the proposed resolution to be signed off by the student.
- Monitor the implementation of the resolution to ensure that all parties adhere to the agreed resolution.
- Ensure that the details of the complaint are recorded in Sydney Global College Complaints Register and reported to Sydney Global College, monthly Management Group meetings for continuous improvement purposes.
- Advise the student to take the complaint to appeal if a resolution cannot be agreed upon

Any complaint raised by a student that the Student Services & Administration Manager considers may be a traumatic event, or the threat of such (within or outside Australia), which causes extreme stress, fear or injury must be reported to the Sydney Global College CEO, or the most senior person available, and will trigger implementation of the critical incident procedure.

Formal Complaint Process – notice of intention to report by Sydney Global College

5.12   The following matters must be lodged a formal complaint within 20 working days of notification of an intention to report the student to Department of Education and the Department of Immigration and Border Protection in order to be considered by Sydney Global College.
- Notice from Sydney Global College of an intention to defer commencement, suspend or cancel a student enrolment
- Notice from Sydney Global College of its intention to report a student for not achieving satisfactory course progress
- Notice from Sydney Global College of its intention to report a student for not achieving course attendance requirements

5.13   Complaints arising from a notice of intention to report by Sydney Global College must be lodged with Sydney Global College by:
- Obtaining a copy of the Student complaint form which can be found in the reception desk.
- Completing the Student complaint form

- Lodging the Student complaint form with the Student Services & Administration Manager

It is the responsibility of the Student Services & Administration Manager to ensure that for complaints arising from a notice of intention to report by Sydney Global College the resolution phase commences within 5 working days of the written complaint being lodged

Complaints arising from a notice of intention to report by Sydney Global College will be heard by a Panel of 3 selected from the Student Services & Administration Manager, a Director of Studies and a member of the teaching staff of Sydney Global College (the Complaints Panel). No member of the panel is to have been involved in making the decision to issue the notice of intention to report.

5.14   During the formal complaint process:
- Students will have an opportunity to formally present their case to the Complaints Panel, in writing or in person at no cost to the student
- Students may be accompanied and assisted by a support person at any meetings involving the complaint.

5.15   The role of the Complaints Panel is to:
- Ensure the resolution phase commences within 5 working days of the written complaint being lodged
- Provide the student, or the students representative, with an opportunity to present their complaint to the Complaints Panel
- Consider the evidence that Sydney Global College holds which lead to the issuing a notice of intention to report
- Consider the evidence presented by the student or the students representative
- Ensure they fully understand the complaint and the matters raised by the student or the student's representative
- Review all the evidence and information provided by the student or the students representative and Sydney Global College
- Consider if there are any applicable extenuating circumstances supporting the students case
- Make an **independent** decision, based on the evidence to either support the students case and cancel the notice of intention to report or support Sydney Global College case and proceed with the Intention to report
- Within 24 hours of making its decision the panel must have formally documented the decision of the panel including reasons for the decision and convey the written decision and reasons for the decision to the student
- Advise the student to take the complaint to appeal if they are not satisfied with

Formal Complaint Process – finalisation

At the end of the resolution phase the Student Services & Administration Manager will report Sydney Global College decision in writing to the student within 5 working days. The Sydney Global College decision and reasons for the decision will be documented by the Student Services & Administration Manager and placed in the students file. A copy of this document will be provided to the student.

5.16   Following the resolution phase Sydney Global College will implement the decision as conveyed to the student and undertake any improvement actions arising from the complaint

5.17   If there is any matter arising from a student formal complaint that is a systemic issue which requires improvement action this will be reported in writing (via email to the CEO) to the Sydney Global College Management Group meeting so the matter can be recorded in the Sydney Global College Complaints Register and be used as part of the continuous improvement activities of Sydney Global College.

5.18   Students who are not satisfied with the outcome of the formal complaint are encouraged to appeal against the Sydney Global College decision by:
- Obtaining a copy of the Student appeal form which can be requested from the reception desk
- Completing the Student appeal form

- Lodging the Student appeal form

5.19   Once the Student appeal form is lodged it will be dealt with as described in the Internal Appeal Process below.

Internal Appeal Process – preamble

5.20   Internal appeals may arise from a number of sources including appeals against assessment, appeals against discipline actions, appeals against notification of an intention to report a student to Department of Education and the Department of Immigration and Border Protection and appeals against decisions arising from complaints. The essential nature of an appeal is that it is a request by a student for Sydney Global College to reconsider a decision made by Sydney Global College.

5.21   Students who are not satisfied with the outcome of a formal complaint or wish to appeal a decision made by Sydney Global College are encouraged to appeal against the Sydney Global College decision by:
- Obtaining a copy of the Student appeal form which can be found in the reception desk.
- Completing the Student appeal form
- Lodging the Student appeal form with the Student Services & Administration Manager.

5.22   A student's enrolment will be maintained whilst an appeal is in progress and the outcome has not been determined.

5.23   The appeal resolution phase must commence within 5 working days of the internal appeal being lodged in writing.

5.24   A maximum time of 10 working days from the commencement of the appeal resolution phase will be allowed for the appeal resolution unless all parties agree in writing to extend this time.

Internal Appeal Process - general

Internal appeals (except assessment appeals) will be heard by a 3 persons panel selected from the Sydney Global College CEO, the Student Services & Administration Manager, the Director of Studies and a member of the teaching staff of the Sydney Global College (the Appeals Panel). No member of the Appeals Panel is to have been directly involved in the complaint leading up to the appeal.

5.25   The role of the Appeal Panel is to:
- Ensure the appeal phase commences within 5 working days of the written appeal being lodged
- Provide the student, or the students representative, with an opportunity to present their appeal to the Appeal Panel
- Ensure they fully understand the students appeal
- Review the evidence and information provided by the student, or the students representative, and Sydney Global College
- Make an **independent** decision, based on the evidence to either support the students appeal, and reverse the decision by Sydney Global College that lead to the appeal or to support the Sydney Global College case and proceed with the original decision by Sydney Global College.
- Arrange for the decision to be signed off by the student and the CEO (this is not agreement by the student but to record that the decision has been transmitted to the student)
- Within 24 hours of making its decision the Appeal Panel must have formally documented the decision of the panel including reasons for the decision and convey the written decision and reasons for the decision to the student

Internal Appeal Process - assessment

5.26   Students appealing an assessment decision (including RPL) will be given the opportunity for reassessment by a different assessor selected by Sydney Global College. Costs of reassessment will be met by Sydney Global College.

5.27   The recorded outcome from the assessment appeal will be the most favourable result for the student from either the original assessment or the reassessment.

5.28   Only one assessment appeal will be allowed

Internal Appeal Process – finalisation

5.29   The outcome of an internal appeal and reasons for the outcome will be recorded in writing and signed and dated by the student and Sydney Global College and placed in the student file. A copy of this document will be provided to the student.

5.30   Following the internal appeals phase Sydney Global College will implement the decision as conveyed to the student and undertake any improvement actions arising from the complaint through the Sydney Global College continuous improvement process

5.31   If there is any matter arising from a student informal complaint, formal complaint or appeal that is a systemic issue which requires improvement action this will be reported in writing (via email to the CEO) to the Sydney Global College Management Group meeting so the matter can be recorded in the Sydney Global College Complaints Register and be used as part of the continuous improvement activities of Sydney Global College.

5.32   There are no further avenues within Sydney Global College for complaints or appeals after the internal appeals process has been completed, however an external appeals process is available

5.33   Students who are not satisfied with the process undertaken for an internal appeal are encouraged to make an external appeal by:
   - Obtaining a copy of the Student appeal form which can be found in the reception desk.
   - Completing the Student appeal form and selecting the External appeal option on the form.
   - Lodging the Student appeal form with or the Student Services & Administration Manager.

Once the Student appeal form is lodged with the Student Services & Administration Manager it will be dealt with as described in the External Appeal Process below.

External appeal process

5.34   Students who are not satisfied with the process undertaken for an internal appeal are encouraged to make an external appeal by:
   - Obtaining a copy of the Student appeal form which can be found in the reception desk.
   - Completing the Student appeal form and selecting the External appeal option on the form.
   - Lodging the Student appeal form with the Student Services & Administration Manager

5.35   The purpose of the external appeals process is to consider whether Sydney Global College has followed its student complaint and appeals procedure, not to make a decision in place of Sydney Global College. For example, if a student appeals against his or her subject results and goes through the Sydney Global College internal appeals process, the external appeals process (if accessed) would look at the way in which the internal appeal was conducted; it would not make a determination as to what the subject result should be.

For external appeals the independent mediator will be the Overseas Student Ombudsman (for overseas students) phone (02) 6276 0111 or LEADR & IAMA (for domestic students) phone (02) 9251 3366. Sydney Global College will pay for costs of mediation.

The external appeals procedure will be determined by the Overseas Student Ombudsman (for overseas students) or LEADR & IAMA (for domestic students)

The National Training Complaints Hotline is accessible on 13 38 73 (Monday to Friday from 8am to 6pm nationally) or via email at skilling@education.gov.au.

5.36   Following the receipt of the outcome of the external appeal Sydney Global College must immediately implement the decision, convey the outcome to the student, place a copy of the documentation on the student file and undertake any improvement actions arising from the complaint

5.37   If an appeal is against an Institute decision to report the student for unsatisfactory course progress Sydney Global College must maintain the student's enrolment (i.e. not report the student for unsatisfactory progress) until the external appeals process is complete and has supported Sydney Global College's decision to report.

5.38   If an appeal is against an Institute decision to defer or suspend a student's enrolment due to misbehaviour or to cancel a student's enrolment Sydney Global College only needs to await the outcome of the internal appeals process (supporting Sydney Global College) before notifying the Department of Education and the Department of Immigration and Border Protection through PRISMS of the change to the student's enrolment.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Complaints Handling Process
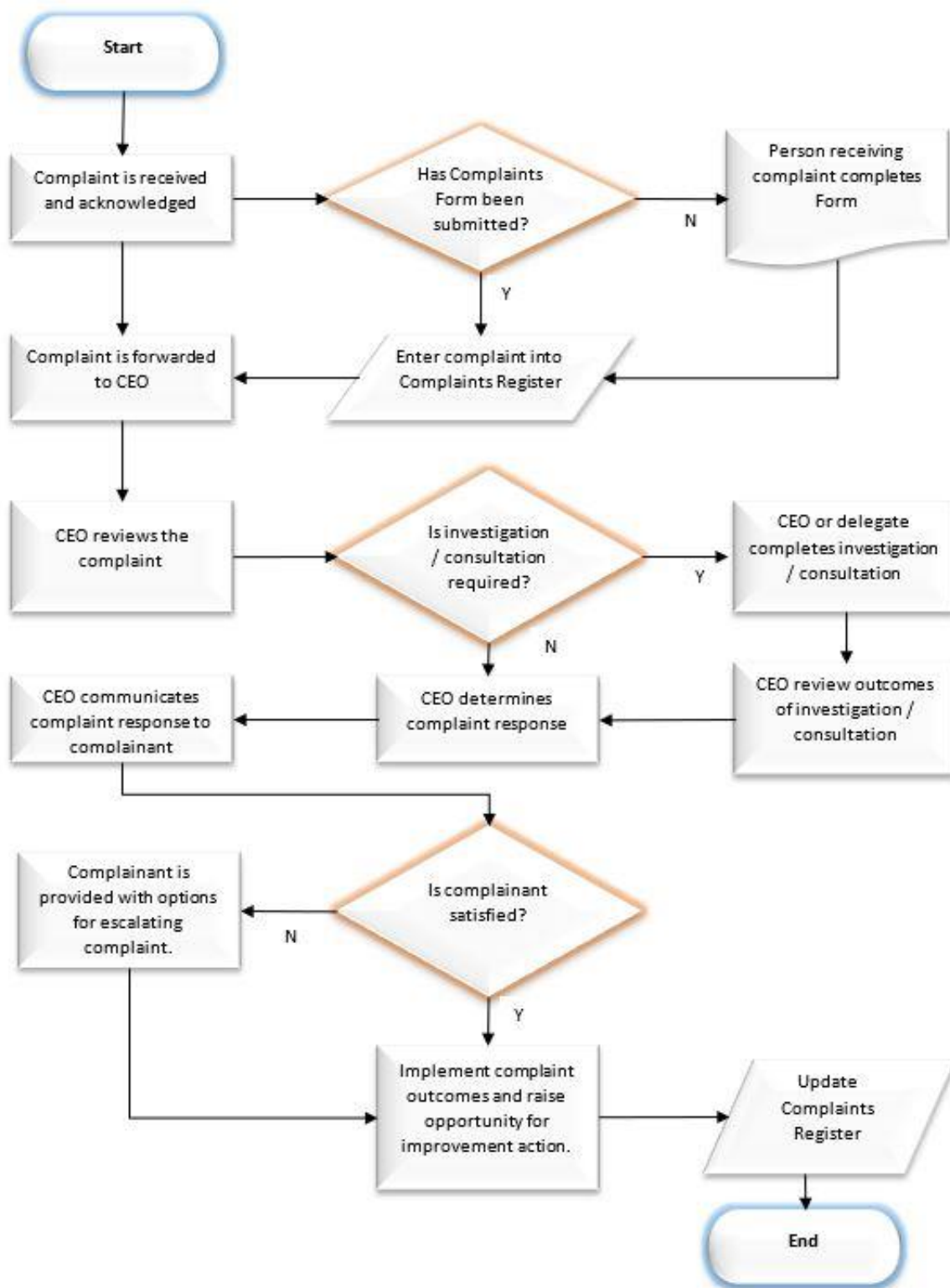
Administrative Appeals Handling Process

```
                    ┌─────────┐
                    │  Start  │
                    └────┬────┘
                         │
  ┌──────────────┐   ◇ Has an Appeal        ┌──────────────────┐
  │ Appeal is    │   Form been         N    │ A completed Appeal│
  │ received and │──▶ submitted? ──────────▶│ Form is requested │
  │ acknowledged │                          └──────────────────┘
  └──────────────┘        │ Y
                          ▼
  ┌──────────────┐   ┌──────────────────┐
  │ Appeal is    │◀──│ Enter appeal into │◀──
  │ forwarded    │   │ the Appeals       │
  │ to CEO       │   │ Register          │
  └──────────────┘   └──────────────────┘
```

Appeal is received and acknowledged → Has an Appeal Form been submitted? — N → A completed Appeal Form is requested

Has an Appeal Form been submitted? — Y → Enter appeal into the Appeals Register → Appeal is forwarded to CEO

Appeal is forwarded to CEO → CEO reviews the appeal → Is investigation / consultation — Y → CEO or delegate appeal investigation / consultation → CEO review outcomes of investigation /

Is investigation / consultation — N → CEO determines appeal response → CEO communicates appeal response to appellant → Is appellant satisfied?

Is appellant satisfied? — N → Appellant is provided with options for escalating appeal.

Is appellant satisfied? — Y → Implement appeal outcomes and raise opportunity for improvement action → Update Appeals Register → End

Assessment Appeals Handling Process

```
                                                          ┌──────────────────┐
         ┌──────────────┐                                 │  Re-assessment   │
         │    Start     │                                 │    completed     │
         └──────┬───────┘                                 └────────┬─────────┘
                │                                                  │
                ▼                                                  ▼
    ┌─────────────────────┐                              ◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇
    │ Appeal is received. │                            ◇  Is candidate deemed  ◇
    │ Must be in writing  │                           ◇  competent after re-    ◇───── Y ──┐
    │ and received within │                            ◇   assessment?        ◇           │
    │ 20 days of the      │                              ◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇            │
    │ decision in dispute │                                     │                         │
    └──────────┬──────────┘                                     N                         │
               │                                                ▼                         │
               ▼                                     ┌─────────────────────┐              │
     ╱───────────────────╱                           │  CEO to meet with   │              │
    ╱   Enter appear    ╱                             │ candidate and discuss│             │
   ╱    into Appeals   ╱                              │ assessment process  │              │
  ╱     Register      ╱                               │    and outcome      │              │
 ╱───────────────────╱                                └──────────┬──────────┘              │
           │                                                     │                         │
           ▼                                                     ▼                         │
   ┌─────────────────┐                                  ◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇                 │
   │ Appeal is        │                                ◇  Is candidate still  ◇            │
   │ referred to the  │                               ◇   dissatisfied with    ◇─── Y ──┐  │
   │     CEO          │                                ◇   assessment         ◇         │  │
   └────────┬────────┘                                  ◇   outcome?         ◇          │  │
            │                                             ◇◇◇◇◇◇◇◇◇◇◇◇◇◇◇             │  │
            ▼                                                    │                      │  │
   ┌─────────────────┐                                          N                      │  │
   │ Candidate is     │                                         ▼                      │  │
   │ offered re-      │                               ┌─────────────────────┐          │  │
   │ assessment with  │                               │ Raise Opportunity   │          │  │
   │ the option of    │                               │ for Improvement     │          │  │
   │ additional       │                               │ Report if required  │          │  │
   │ training         │                               └──────────┬──────────┘          │  │
   └────────┬────────┘                                           │                     │  │
            │                                                    ▼                     │  │
     ◇◇◇◇◇◇◇◇◇◇◇◇                                   ╱───────────────────╱           │  │
   ◇   Does candidate  ◇                            ╱  Update appear    ╱             │  │
  ◇   agree to additional ◇──── N ──────┐          ╱  outcome in the   ╱              │  │
   ◇    training?      ◇                │         ╱  Complaints and   ╱               │  │
     ◇◇◇◇◇◇◇◇◇◇◇◇                     │        ╱  Appeals Register ╱                │  │
            │                          │       ╱───────────────────╱                 │  │
            Y                          │                 │                           │  │
            ▼                          │                 ▼                           │  │
   ┌─────────────────┐         ┌───────────────┐   ┌──────────────┐                 │  │
   │ Additional       │         │   Refer to    │   │     End      │◄────────────────┘  │
   │ training          │         │  Complaints   │   └──────────────┘◄───────────────────┘
   │ provided to       │         │   Process     │
   │ candidate         │         └───────────────┘
   └─────────────────┘
```

Student transfer [National Code Part B Standard 7]

1.0   Purpose

1.1   The purpose of this procedure is to address standard 7 of the National Code 2018 transfer between registered providers

2.0   Responsibility

2.1   The Student Services & Administration Manager is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements.

3.0   Requirements (Policy)

3.1   Sydney Global College must not actively recruit students where the recruitment would conflict with the requirements of this procedure and/or Standard 7 of the National Code

3.2   No fee can be charged to the student by Sydney Global College for issuing a letter of release

3.3   Registered providers are restricted from enrolling transferring students in the first six months of their principal course of study except in accordance with Standard 7 of the National Code.

3.4   If a letter of release Sydney Global College is refused by a registered provider a student may appeal Sydney Global College's decision.

4.0   Definitions

4.1   N/A

5.0   Method (Procedures)

Letter of Release

5.1   Students must apply for a letter of release on the appropriate form

Applications for a letter of release will be considered by the Student Services & Administration Manager and responded to within 14 days of being received by Sydney Global College.

5.2   A letter of release will be granted in accordance with this procedure and only if the student can provide written confirmation that a valid enrolment offer has been made by another registered provider.

5.3   A letter of release will normally be granted, within 5 working days of the application, in the following situations:
- Sydney Global College is unable to continue to provide the course; or
- The student can demonstrate they are experiencing threat to physical or mental health or safety by remaining at Sydney Global College and can demonstrate clearly how this will be alleviated through a transfer; or
- The current course of study is clearly not consistent with documented course requested for on their application.
- In exceptional compassionate circumstances beyond the students control, such as serious illness or death of a close family member (independent evidence of the exceptional circumstances is required) and the exceptional compassionate circumstances has led to a permanent change in the student's circumstances that makes continued enrolment inappropriate.

5.4   A letter of release will normally not be granted in the following situations:
- The requirements of the written agreement have not been met by the student; or
- The student does not satisfy any of the situations which normally lead to a letter of release being granted; or

- The proposed transfer will jeopardise the student's progression through a package of courses; or
- The student has unsatisfactory academic progress and has been or is about to be reported to Department of Education and the Department of Immigration and Border Protection; or
- The student has unsatisfactory behaviour and has been or is about to have their enrolment suspended or cancelled and be reported to Department of Education and the Department of Immigration and Border Protection; or
- The student cannot provide a letter from another registered provider confirming that a valid enrolment offer has been made.

5.5   If a letter of release is refused, reasons for the refusal will be documented in writing and the student will be informed of their rights of appeal using Sydney Global College complaints and appeals procedure.

5.6   A copy of the student's letter of release application; notes recording the assessment of the application and a copy of the response letter sent to the student by Sydney Global College must be placed in the student's file

Enrolling a transferring student

5.7   Sydney Global College will not knowingly enrol a student wishing to transfer from another registered provider's course prior to the student completing six months of his or her principal course of study except where:
- the original registered provider has ceased to be registered or the course in which the student is enrolled has ceased to be registered; or
- the original registered provider has provided a written letter of release; or
- the original registered provider has had a sanction imposed on its registration by the Australian Government or state or territory government that prevents the student from continuing his or her principal course, or
- any government sponsor of the student considers the change to be in the student's best interest and has provided written support for that change.

5.8   In the event that Sydney Global College knowingly enrols a student wishing to transfer from another registered provider's course prior to the student completing six months of his or her principal course of study documentary evidence of at least one of the four conditions listed above must be obtained and placed in the transferring student's file.

5.9   Sydney Global College will not seek to enrol a student who has not yet completed six months of their principal course of study with another registered provider unless the requirements of the National Code are met and then only in accordance with this procedure.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Student support (National Code Part D Standard 6)

1.0   **Purpose**

1.1   The purpose of this procedure is to indicate how the College will support students in their learning program.

2.0   **Responsibility**

2.1   The Student Services & Administration Manager is responsible for the implementation of this procedure and to ensure that staff and students are aware of its application and that staff implement its requirements.

3.0   **Requirements (Policy)**

3.1   The College will provide the opportunity for students to participate in services or provide access to services designed to assist students in meeting course requirements, and successfully completing their course of study.

3.2   The College designated member of staff to be the official point of contact for students is the Student Services & Administration Manager. The role of the Student Services & Administration Manager is to direct a student to the appropriate person within the College in the event a student requires support.

3.3   The College will provide the opportunity for students to access course-related support services to assist with issues that may arise during their study. If the College refers the student to external support services the cost of these services is to be paid by the student.

3.4   The Student Services & Administration Manager will present a written report on support activities provided, and opportunities identified for improvement, at each meeting of the College Continuous Improvement Group.

4.0   **Definitions**

4.1   N/A

5.0   **Method (Procedures)**

Orientation Program

5.1   An orientation session will be conducted by College staff (generally Director of Studies) prior to any student commencing training in the College programs. The orientation session will cover the following:

Prior to commencement of class

Please locate and read the following information in this handbook;

- Student support
- Assessment
- Recognition of prior learning / Mutual Recognition
- College contact people
- Complaints and appeals
- Plagiarism and cheating
- Student code of behaviour
- Attendance expectations
- Keeping address and contact details up-to-date
- College facilities and resources
- Student Mutual Recognition application form
- Student deferral, suspension or cancellation application form
- Student refund application form

- Student RPL application form
- Student complaints and appeals

In your first class

At the commencement of your first session your trainer will detail and explain the following;

- Learning and assessment program
- WH&S
- Facilities and equipment
- Assessment requirements
- Questions

Student support services

5.2   The primary mechanism for student support is through the Student Services & Administration Manager who is responsible for responding to requests for assistance from students.

Students requiring additional assistance will be referred to the appropriate College staff, e.g. Student Services & Administration Manager, Director of Studies, Trainers, Chief Executive Officer, or to an appropriate external support provider if this is considered appropriate.

5.3   Before a student is referred to an appropriate external support provider the Student Services & Administration Manager must seek approval from the Chief Executive Officer or the Director of Studies.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		

Student Orientation Programme

Time	Topic	Speaker	Venue
09:00 – 09:30	**Registration** • Enrolment Check • Photocopying student documents (Passport & Visa) • Distribution Information Pack • Student ID Card	Orientation Team	Receptionist Area
09:30 – 09:45	Welcome Speech	Director of Studies, Principal / Chief Executive Officer	TBA
09:45 – 11:45	**Student Support Services and Administration** • Student support services • Legal services • Emergency and health services • College contacts • Complaints and appeals procedure • Plagiarism and cheating • Student code of behaviour • Change of address and contact details • Student deferral, suspension or cancellation • Student refund	Student Services & Administration Manager	TBA
11:45 – 12:00	**Tea Break**		
12:00 – 13:00	**Student Support Services and Administration (Continue)** • Student visa requirement • Overseas Student Health Cover • College facilities and resources	Student Services & Administration Manager	TBA
13:00 – 13:45	**Lunch Break**		
13:45 – 15:45	**Academic** • Course assessment • Recognition of Prior Learning / National Recognition • Course progress and intervention strategy • Work Health & Safety	Director of Studies	TBA
15:45 – 16:15pm	College Tour	Orientation Team	

Sydney Global College
ACN No: 609 206 724   **ABN No:** 63 609 206 724
RTO No: 41587   **CRICOS Provider No.:** 03697D
Level 4, 118 Walker Street, North Sydney NSW 2060
Phone: (02) 9954 4243   **Email:** info@sgc.edu.au

Version Control

1.0   Purpose

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

- Assure the integrity, accuracy and currency of all documents used by the College
- Ensure that documents are approved by the appropriate personnel before becoming active
- Ensure replaced documents are archived for continuous improvement records
- Ensure all stakeholders are using current documentation
- Maintain registers of documents that relate to the Scope of Registration
- Manage recordkeeping requirements for students as required by the VET Quality Framework.

2.0   Responsibility

2.1   The Student Services & Administration Manager is responsible for the implementation of this procedure and to ensure that all staff are aware of its application and that staff implement its requirements.

3.0   Requirements (Policy)

3.1   Records maintained by the College support the continuous improvement of its operations and provide evidence of compliance with the VET Quality Framework.

3.2   The College uses a systematic approach that ensures it maintains all records relevant to its operations as a College, including the continuous improvement of its operations.

3.3   Records are systematically managed.

3.4   Records for demonstrating compliance with the VET Quality Framework are maintained.

3.5   Staff meet their responsibilities for records management.

3.6   The effectiveness of records management is monitored and reviewed.

3.7   The continuous improvement of record management systems is demonstrated.

4.0   Definitions

N/A

5.0   Method (Procedures)

Introduction

5.1   There are three levels of version control:

- Level 1 is the highest level and requires documents to go through a formal process of checking approval and publishing involving 2 or more College staff. These documents have a Version Control Page near the beginning of the document. Level 1 documents are the Procedures & Policies Manual and the Information Handbook.

- Level 2 requires the approval of the Chief Executive Officer who ensures the Student Services & Administration Manager or the Director of Studies undertakes whatever consultation and checking they consider advisable on a case-by-case basis. These documents have a notation and date in the footer which indicates who made the approval. Level 2 documents are the Student Application and Enrolment form, Written Agreement, Duty Statements, RTO forms and sample letters, Staff forms, and Student forms and sample letters.

- Level 3 applies to documents prepared and used by individual staff only. These documents are not part of the College document management system.

Level 1 Version Control Process

5.2   All Level 1 documents must be created and amended by appropriate personnel in compliance with relevant legislation and be suitable for their intended purpose.

5.3   All staff involved in the creation, review and modification of a document must indicate they have checked the content in relation to their area of responsibility including compliance with relevant legislation. Names of staff that have checked the document, separated by commas, must be entered into the *'Checked by'* field in the Document Version Control section of the document as each person completes their tasks.

5.4   Once all checking has been completed the document must be approved by the Chief Executive Officer who enters their name in the *'Approved by'* field in the Document Version Control section of the document to indicate they have completed the approval.

5.5   An electronic version of the document is then passed to the Student Services & Administration Manager for Version Control processing and publishing.

5.6   The Student Services & Administration Manager must only accept documents into the Version Control system that have been checked by relevant staff and approved by the Chief Executive Officer.

5.7   The Student Services & Administration Manager must enter their name in the *'Published by'* field in the Version Control Record section of the document to indicate they have completed the approval process and a printed copy of the Version Control Record must be signed and dated by the Chief Executive Officer and the Student Services & Administration Manager to indicate their acceptance for publishing.

5.8   The Student Services & Administration Manager must check and, if necessary, update the following information in the Version Control Record section of the document.
- Document title
- Version number
- Document status
- Checked by
- Approved by
- Published by
- Published date

Example

Document Title – **Procedures and Policies Manual**   **page 4 of 85**
Version Number – **Version 1.0**   Document Status **- Published**

5.9   A printed copy of the Document Version Control page signed and dated by the Chief Executive Officer and the Student Services & Administration Manager must be stored in the College filing system.

5.10   A protected electronic version of the document is then placed in the Version Control folder on the College network in PDF format. Documents can be viewed and printed from this folder.

5.11   Electronic versions of the replaced documents are then placed in the archived documents folder. (This folder is password protected and not accessible by staff apart from the Chief Executive Officer and the Student Services & Administration Manager.)

5.12   All staff are to use the College Version Control folder for printing and dissemination of all College documents.

Level 2 Version Control Process

5.13   All Level 2 documents must be created and amended by either the Chief Executive Officer or the Student Services & Administration Manager in compliance with relevant legislation and be suitable for their intended purpose.

5.14   The Chief Executive Officer or the Student Services & Administration Manager must consult with relevant College staff or external people when creating or amending these documents

5.15   An electronic version of the document is then passed to the Student Services & Administration Manager for Version Control processing and publishing.

5.16   The Student Services & Administration Manager must only accept documents into the Version Control system that have been approved by the Chief Executive Officer.

5.17   The Student Services & Administration Manager must ensure the document has been approved by the Chief Executive Officer by receipt of a confirmation email.

The Student Services & Administration Manager must update the footer of the document to record the title of the person who approved it and the approval date. An example of the footer is shown below.

Example

Duty Statement – Director of Studies is not a controlled document when printed   printed 22/05/2018 page 113
Level 2 Document Approved by Chief Executive Officer

5.18   A protected electronic version of the document is then placed in the Version Control folder on the College network in PDF format. Documents can be viewed and printed from this folder.

5.19   Electronic versions of the replaced documents are then placed in the archived documents folder. (This folder is password protected and not accessible by staff apart from the Chief Executive Officer and the Student Services & Administration Manager.)

5.20   All staff are to use the Version Control folder for printing and dissemination of all College documents.

Level 3 Version Control Process

5.21   Level 3 documents are documents created by staff for their own use.

5.22   These documents are not part of the College Version Control System and are maintained by staff on their own PC and are not version controlled or archived by the College.

6.0   Revision history

Revision	Date	Description of modifications
1		
2		
3		
4		
5		