

RTO MANAGEMENT SYSTEM

**POLICIES AND ASSOCIATED
PROCEDURES FOR RTOS**

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INTRODUCTION

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

- National Vocational Education and Training Regulator Act 2011
- National Vocational Education and Training Regulator (Outcome Standards for NVR Registered Training Organisations) Instrument 2025
- National Vocational Education and Training Regulator (Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements) Instrument 2025
- Credential Policy Standards for Registered Training Organisations
- National Vocational Education and Training Regulator (Financial Viability Risk Assessment Requirements) Instrument 2021
- National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020
- Australian Qualifications Framework

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



Regulatory Compliance and Governance is also addressed.

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DEFINITIONS

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

- **AQF:** Australian Qualifications Framework as at: www.aqf.edu.au.
- **ASQA:** Australian Skills Quality Authority.
- **Course:** refers to the unit, qualification, skill set or group of units being packaged as a course.
- **Compassionate or compelling circumstances:** these may include, but are not limited to:
 - serious illness or injury
 - bereavement
 - major political upheaval or natural disaster in the home country requiring emergency travel and this has impacted on the student's studies

- a traumatic experience which has impacted on the student.
- **Credit transfer:** credit provided to students for units of competency (unless licensing or regulatory requirements or the training product prevents this) where these are evidenced by AQF certification documentation issued by another education provider or AQF authorised issuing organisation or authenticated VET transcripts issued by the Registrar.
- **Critical incident:** includes but not limited to:
 - missing students
 - severe verbal or psychological aggression
 - death, serious injury or any threat of these
 - natural disasters
 - issues such as domestic violence, sexual assault, drug or alcohol abuse.
- **Cheating:** seeking to obtain an unfair advantage in the assessment of any piece of work.
- **Collusion:** unauthorised collaboration between students.
- **Deferral:** to postpone commencement of studies.
- **Governing persons:** governing persons are those person(s) and/or body(ies) that are responsible for overseeing and directing, and exercise a degree of control or influence over, the management or operation of the RTO, including executive officers.
- **Marketing:** this covers all marketing communication methods.
- **Principles of assessment:** assessment is conducted to be consistent with the following principles of assessment:
 - fairness – assessment accommodates the needs of the VET student, including through applying adjustments where appropriate and enabling reassessment where necessary;
 - flexibility – assessment is appropriate to the context, training product and VET student, and assesses the VET student's skills and knowledge that are relevant to the training product, regardless of how or where the VET student has acquired those skills or that knowledge;
 - validity – assessment includes practical application components that enable the VET student to demonstrate the relevant skills and knowledge in a practical setting; and
 - reliability – assessment evidence is interpreted consistently by assessors and the outcomes of assessment are comparable irrespective of which assessor is conducting the assessment.
- **Plagiarism:** to take and use the ideas and/or expressions and/or wording of another person or organisation and passing them off as one's own by failing to give appropriate acknowledgement. This includes material from any source such as staff, students, texts, resources and the internet, whether published or unpublished.
- **Outcome Standards for RTOs:** the SRTOs include the Outcome Standards, Compliance Standards and Credential Policy.
- **Recognition of Prior Learning (RPL):** an assessment process that assess the competency of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which the applicant meets the requirements specified in the training product.

- **Rules of evidence:** assessment is conducted to be consistent with the following rules of evidence:
 - validity – assessment evidence is adequate, such that the assessor can be reasonably assured that the VET student possesses the skills and knowledge described in the training product;
 - sufficiency – the quality, quantity and relevance of the assessment evidence enables the assessor to make an informed judgement of the VET student's competency in the skills and knowledge described in the training product;
 - authenticity – the assessor is assured that a VET student's assessment evidence is the original and genuine work of that VET student; and
 - currency – the assessment evidence presented to the assessor documents and demonstrates the VET student's current skills and knowledge.
- **SMS:** Student Management System.
- **Suspension:** to temporarily postpone studies.
- **Third party:** any party that provides services on behalf of Kordon Institute of Technology. Services include training services, assessment services, training support services and activities associated with recruitment of prospective VET students including marketing, enrolment, induction or collection of fees. A third-party arrangement does not include a contract of employment between Kordon Institute of Technology and its employee, other entities that deliver VET student counselling or mediation or provide ICT or other support services, experts who contribute to training or assessment, or an entity that refers students to the RTO where the referring entity does not receive payment from the RTO and the referring entity is a government agency or government funded agency.
- **Training support services:** these are services and resources provided to support students to meet training product requirements and complete the training product in which they are enrolled.
- **Wellbeing support services:** these are services and resources provided to support the physical, mental and emotional wellbeing of students.

RESPONSIBILITIES

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

Each policy and associated procedures include specific responsibilities.

ORGANISATION CHART

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

MARKETING AND RECRUITMENT

Policies and associated procedures in this section:

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

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

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

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

MARKETING POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures have been developed to guide Kordon Institute of Technology when undertaking marketing and advertising activities. This is to ensure that learners are provided with current, clear, accurate, and accessible information before enrolling in a course.

This policy and associated procedures meet the requirements of Standards 2.1 and 2.2 of the Outcome Standards for RTOs, as well as marketing and advertising requirements in Compliance Standards.

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

POLICY STATEMENTS

MARKETING INFORMATION

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

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

Kordon Institute of Technology identifies the information that is needed by VET students prior to enrolment and how that information is communicated.

Information provided by Kordon Institute of Technology to prospective and current students:

- provides current, clear and accurate information regarding services offered.
- is sufficient to allow students to make an informed choice.
- distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification and any non-accredited training offered.
- includes all the information required under the relevant standards of the Outcome Standards for RTOs and Compliance Standards as follows:
 - Legal entity and/or trading name and RTO Code or links to this information.
 - The code, title and currency of the Training Product or accredited course (as published on the National Register) or links to this information. Note that a non-current Training Product will only be advertised or marketed while it remains on Kordon Institute of Technology's scope of registration. Any other outcomes of the course will also be provided (for example, option to apply for a licence).
 - Includes information about any third parties who are recruiting students on behalf of Kordon Institute of Technology, and their names and contact details.
 - Outlines where Kordon Institute of Technology is delivering training and assessment on behalf of another Registered Training Organisation or where training and assessment is being delivered on behalf of a third party and includes names and contact details of such.

- Outlines any work-based training and associated arrangements a student is required to undertake as part of the course.
- Outlines entry requirements for entry to the course.
- Provides information on course credit (credit transfer and RPL).
- Includes information on the duration (including holiday breaks), as well as the date of commencement, scheduling, location and mode/s of delivery.
- Includes information on facilities, equipment and other resources available to students.
- Includes information on materials and equipment, including IT equipment, that the student is expected to provide as part of their course.
- Includes information on support services available, including training support services, as well as wellbeing support services.
- Includes information about obtaining a USI.
- Includes details about VET Student Loans, entitlements and subsidies available through government funding or any other financial support arrangements as applicable.
- Outlines any other information relevant to the registered provider, its courses or outcomes associated with those courses.
- Includes all relevant cost information including all tuition and non-tuition fees, payment terms and conditions, and the potential for fees to change over the duration of a course.
- Includes information about withdrawing from a course, including refund policies.
- Outlines the grounds on which a student's enrolment may be deferred, suspended or cancelled.

The Nationally Recognised Training (NRT) logo is used in accordance with the NRT Conditions of Use Policy.

Kordon Institute of Technology only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised.

A Marketing Consent Form is used to seek consent from any individual or organisation that is referred to in Kordon Institute of Technology's marketing, promotions and advertising material.

Kordon Institute of Technology or any associated third party will not:

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

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

The obligations of Kordon Institute of Technology including that Kordon Institute of Technology is responsible for the quality of training and assessment in accordance with the Standards for RTOs and for the issuance of AQF certification documentation are fully described in the Student Handbook.

Kordon Institute of Technology will abide by all marketing, promotion and advertising requirements under the Australian Consumer Law.

PROCEDURES

1. DEVELOP MARKETING MATERIAL

- 1.1 Access this policy when planning marketing materials.
- 1.2 Use information about pre-enrolment information and communication methods to determine the type of marketing materials that need to be developed. See the Quality Assurance Policy and Associated Procedures regarding how this information is collected.
- 1.3 Access the course information from the Training and Assessment Strategy (TAS).
- 1.4 Develop the marketing materials using the relevant template (i.e., the course brochure template).
- 1.5 Review materials developed with the Marketing Checklist, TAS and approved course fees.
- 1.6 Provide the materials for approval.
- 1.7 Upon approval, publish the information (print or website) and file approvals.

2. REVIEW MARKETING MATERIAL

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

3. REVIEW WEBSITE

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

4. DEVELOP MARKETING PLAN

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

5. SEEK MARKETING CONSENT

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

RESPONSIBILITIES

The CEO is responsible for developing the marketing plan and approval of marketing materials, as well as for developing and reviewing marketing materials and implementing and monitoring marketing strategies as per the marketing plan.

THIRD PARTY POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

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

This policy and associated procedures meet the requirements of Standard 4.2 of the Outcome Standards for RTOs, as well as the third party arrangements in Compliance Standards.

POLICY STATEMENTS

OVERVIEW

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

- marketing of the training products on Kordon Institute of Technology's scope
- student recruitment
- provision of training and assessment services
- provision of additional services such as student support.

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

THIRD PARTY AGREEMENTS

All third parties representing Kordon Institute of Technology must sign and abide by Kordon Institute of Technology's Third Party Agreement.

Kordon Institute of Technology's Third Party Agreement will include:

- particulars including the business or trading names of the parties to the agreement, the dates on which the agreement will commence and end and all the parties' obligations concerning the delivery of the services.
- responsibilities of Kordon Institute of Technology, including that Kordon Institute of Technology is responsible at all times for compliance with the Outcome Standards, Compliance Standards and Credential Policy.
- Kordon Institute of Technology requirements of the third party in representing it including but not limited to:
 - declaring in writing and taking reasonable steps to avoid conflicts of interests with its duties as a third party of Kordon Institute of Technology
 - observing appropriate levels of confidentiality and transparency in their dealings with students
 - acting honestly and in good faith, and in the best interests of all students

- having appropriate knowledge and understanding of the VET system in Australia
- prohibiting the third party from:
 - using the NRT logo
 - using Kordon Institute of Technology branding
 - issuing any AQF certification documentation.
- Kordon Institute of Technology processes for monitoring the activities of the third party
- the corrective action that may be taken by Kordon Institute of Technology if the third party does not comply with its obligations under the third-party agreement, including providing for corrective action
- grounds for termination of the third party agreement, including providing for termination in the circumstances
- the circumstances under which information about the third party may be disclosed by the registered provider and the Commonwealth or state or territory agencies
- the requirement for the third party to cooperate with ASQA in the provision of information and the conduct of audits as required.

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

MONITORING AND CORRECTIVE ACTION

Kordon Institute of Technology will monitor all third parties using the monitoring processes described in the agreement.

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

TERMINATION

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

PROCEDURES

1. PROCESS THIRD PARTY APPLICATIONS

- 1.1 Provide a Third Party Application Form to the potential third party.
- 1.2 On receipt of an application, check that the application form has been completed in full and that any supporting information has been provided.
- 1.3 Send an acknowledgement that the application form has been received within 3 working days of the receipt of the application. Request additional information not provided, as relevant.

- 1.4 Review information included in application form.
- 1.5 Call referees for reports on the third party.
- 1.6 Approve the third-party application where the third party has demonstrated experience and skills, provides services that align with Kordon Institute of Technology's marketing objectives and positive reports from referees are received.
- 1.7 For successful third parties, customise the Third Party Agreement and send to the third party for signing. This must be within 10 working days of receiving the application.
- 1.8 Where the third party is not deemed to be suitable, send an email within 10 working days of receiving the application advising that their application has not been successful and including the reasons why.

2. MANAGE THIRD PARTIES

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

3. MONITOR THIRD PARTIES

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

4. TERMINATE THIRD PARTY AGREEMENTS

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

RESPONSIBILITIES

The CEO is responsible for:

- assessing and approving third party applications
- managing third party applications
- monitoring and terminating third party agreements.

ENROLMENT

Policies and associated procedures in this section:

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

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

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

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

STUDENT ENROLMENT AND COMPLETION POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

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

This policy and associated procedures meet the requirements of Standards 1.6, 1.7, and 2.2 of the Outcome Standards for RTOs and AQF certification documentation, student identifiers and nationally recognised training logo requirements in Compliance Standards.

POLICY STATEMENTS

ENROLMENT

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

CREDIT TRANSFER AND RPL

- Students are able to seek recognition of prior learning (RPL) and credit transfer. This means that students do not have to repeat units (or equivalent) already achieved and can be recognised for formal and informal learning, skills and experience.
- Students will be offered the opportunity to seek credit transfer and RPL during the enrolment process and will be informed of Kordon Institute of Technology processes for this. Information about RPL and credit transfer is included in student handbooks.
- All decisions about credit transfer and RPL are fair, consistent and transparent and are documented. Decisions about RPL will maintain the integrity of the training product.

- Kordon Institute of Technology will review all AQF certification documentation or an authenticated VET transcript (unless prevented by licensing or regulatory requirements) and authenticate it as part of the process of awarding credit.
- Applicants who wish to apply for RPL will be provided with a RPL Kit. The RPL process will be followed as per the procedures included with this policy.
- Applicants will be advised in writing of the outcome of their application for credit transfer and/or RPL. Where the credit provided results in a reduction of the duration of the course and fees, this will also be advising in writing.

CHANGES TO SERVICES

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

INTERNAL TRANSFER

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

COMPLETION

- AQF certification documentation is issued to students who have met the requirement of the training product.
- AQF certification documentation is issued to students within 30 calendar days of successful completion of their course provided they have completed the AQF qualification or one or more units of the qualification and paid all agreed fees.

- All certificates issued are recorded in the Student Management System and are kept for a period of 30 years.
- All certification documentation complies with AQF certification documentation and Nationally Recognised Training logo requirements in the Compliance Standards and includes a mechanism to ensure it cannot be fraudulently reproduced.
- Certification documentation will only be issued where the student's USI is on file (unless an exemption applies under the Student Identifiers Act 2014) and has been verified and where the student has paid their fees in full.
- Confirmation of the issuing of certificates will be provided to those who need to verify certificates.
- Certificates can be reissued on request.

PROCEDURES

1. PROCESS ENROLMENT

- 1.1 Provide Application for Enrolment Forms to applicants on request.
- 1.2 On receipt of an enrolment, check that the enrolment form has been completed in full and that all supporting information has been provided.
- 1.3 Send an acknowledgement that the enrolment form has been received within 3 working days of receipt. Request additional information not provided as relevant.
- 1.4 Enter the applicant's details into the secure Student Management System.
- 1.5 Where the USI has not been received, make a note on the applicant's file that it is to be completed at the orientation.
- 1.6 Verify all USIs.
- 1.7 Where an applicant indicates they have a USI exemption, they will be informed in writing prior to the completion of the enrolment process that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.

2. CONDUCT COURSE ENTRY INTERVIEW

- 2.1 Contact the applicant to arrange a suitable date and time for the course entry interview. This should be within 4 working days of receipt of the application for enrolment.
- 2.2 Conduct the course entry interview using the Course Entry Interview Form.
- 2.3 Complete the course entry interview to determine whether the applicant is suitable for their chosen course and the applicant's support needs.
Provide the language, literacy and numeracy assessment to determine LLN level.
- 2.4 Provide the digital literacy assessment to all students and assess them according to the benchmarks in the assessment.

- 2.5 Document the outcomes of the course entry interview process, including LLN/English Language proficiency and numeracy and digital literacy in the Course Entry Interview Form.
- 2.6 Note that for students participating in courses with work placement requirements, it is important to discuss the requirements of the work placement including identity checks and immunisations. A prompt is included in the course entry interview form.
- 2.7 Communicate the outcomes of the course entry interview process by either confirming the student's enrolment or advising in writing that they have not been accepted into the course and the reasons why. Note where the student's enrolment is confirmed and they require support, ensure the student support policy and associated procedures is followed and a student support plan is documented.

3. PROCESS CREDIT TRANSFER

- 3.1 Check if the student wishes to apply for credit transfer – this will be through a review of the Application for Enrolment Form and/or through the course entry interview process. The student must provide their AQF certification documentation or authenticated VET transcript.
- 3.2 Review the student's AQF certification documentation or authenticated VET transcript to assess whether they have completed an equivalent training product. Note that credit transfer cannot be provided if this is not allowed as per licensing or regulatory requirements or the training product.
- 3.3 Where the student has provided AQF certification documentation, contact the issuing RTO to verify that the certificate is authentic. Where the AQF certification documentation is not confirmed as authentic, contact the student to discuss.
- 3.4 Where the assessment confirms that the student has completed an equivalent training product as demonstrated by AQF certification documentation or authenticated VET transcript, record this on the student's record on their Student Management System.
- 3.5 Inform the student of the outcome of the credit transfer assessment, including whether the application has been successful or not. If credit transfer will not be awarded, explain to the student why. If credit transfer will be awarded, advise the student of any reduction to their course duration and fees. The reduction in course duration will be as per the amount of time allocated in the timetable to the unit that the student has received credit for. See Fees and Refunds Policy and Associated Procedures for calculation for reduction of fees.
- 3.6 Issue the Offer Letter and Student Agreement with the relevant fees and duration considering the credit transfer awarded.
- 3.7 Where a student applies for credit transfer once they have commenced their course, this credit transfer process must be followed and the Offer Letter and Student Agreement updated. Any fee reductions will be processed as per the the Fees and Refunds Policy and Associated Procedures.

4. PROCESS RECOGNITION OF PRIOR LEARNING (RPL)

- 4.1 Check if the student wishes to apply for RPL – this will be through a review of the Application for Enrolment Form and/or through the course entry interview process.
- 4.2 Provide the student with the relevant RPL Kit and follow the instructions for processing an RPL application as set out in the assessor version of the RPL kit. The RPL assessment process as documented in the RPL kit ensure that decision are fair and consistent and maintain the integrity of the training product.
- 4.3 Record the outcome of the RPL assessment process on the student's record in the Student Management System.
- 4.4 Inform the student of the outcome of the RPL assessment, including whether the application has been successful or not. If RPL will not be awarded, explain to the student why. If RPL will be awarded, advise the student of any reduction to their course duration and fees. The reduction in course duration will be as per the amount of time allocated in the timetable to the unit that the student has received credit for. See Fees and Refunds Policy and Associated Procedures for calculation for reduction of fees.
- 4.5 Issue the Offer Letter and Student Agreement with the relevant fees and duration considering the RPL provided.

5. FINALISE ENROLMENT PROCESS

- 5.1 If the applicant is suitable for the course, create a student file.
- 5.2 Verify the student's USI or create a USI for the student following the procedures for such at: <https://www.usi.gov.au/training-organisations>
- 5.3 Customise the Offer Letter and Student Agreement for the student and send out to the student for signing. This should occur within 5 working days of receipt of the application for enrolment. The signing of the Offer Letter and Student Agreement indicates the student has accepted all terms and conditions.
- 5.4 On receipt of the signed Offer Letter and Student Agreement, send out an invoice for the first payment.
- 5.5 Following receipt of the first payment by the student, update the student's status in the SMS and send out the final confirmation of enrolment.
- 5.6 Use the student file checklist to confirm all the information has been collected.

6. MANAGE INTERNAL COURSE TRANSFERS

- 6.1 Where a student wishes to transfer to another course with Kordon Institute of Technology, provide students with Internal Course Transfer Application Form.
- 6.2 Acknowledge receipt of completed forms within 3 working days of receipt.

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

7. MANAGE STUDENT FILES

- 7.1 Update student files throughout the course according to relevant events including but not limited to course progress and attendance, support, course credit, course transfer, deferral, suspension and withdrawal and disciplinary action. Refer to all of the relevant policies and procedures for student file management.
- 7.2 Update Student Agreements as relevant based on any changes that occur once the student has enrolled (this also includes changes to third party arrangements including new third party agreements or changes in ownership). Send to the student for agreement within 3 working days of signing and adjust fees as required.
- 7.3 Send out emails to students every 6 months requesting advice of any change of contact details (note students are also required to provide these within 7 days of any change).
- 7.4 Update student details as required based on changes to contact details.

8. FINALISE CERTIFICATION

- 8.1 Immediately record student assessment outcomes on the Student Management System on receipt of marked work from trainers/assessors.
- 8.2 Once all units have been completed, check that the student has paid all agreed fees. If the student withdraws before completing a qualification in full, they must also pay all agreed fees and will be eligible to receive a statement of attainment.
- 8.3 Contact the student in writing regarding unpaid fees if applicable, indicating these must be paid before they can receive their AQF certification.
- 8.4 Check the student's USI is on file and contact the student in writing if this has not been received.
- 8.5 Populate the testamur and record of results or statement of attainment with the student and award details.
- 8.6 Sign certification (authorised signatory).

- 8.7 Have the certification ready within 10 working days of the student having been assessed as meeting all the requirements of their course (and having paid all of their fees).
- 8.8 Retain the student's certification on file for a period of 30 years.
- 8.9 Advise the student via email that their certificate is ready for collection or email an electronic version or send via post.
- 8.10 Reissue AQF documentation certification as required by students on request. Fees for such are included in the Fees and Refunds Policy and Associated Procedures and Student Handbook.
- 8.11 Retain all student details including assessment outcomes for a minimum of 2 years.
- 8.12 Provide reports to ASQA as required of records of qualifications and statements of attainment issued.

RESPONSIBILITIES

The Administration Support Officer will be responsible for:

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

The CEO will be responsible for:

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

Trainers and assessors are responsible for conducting RPL.

FEES AND REFUNDS POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

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

This policy and associated procedures meet the requirements of Standards 2.1 of the Outcome Standards for RTOs and marketing and advertising requirements, AQF certification documentation and prepaid fee protection measures in Compliance Standards.

POLICY STATEMENTS

INFORMATION ABOUT FEES AND CHARGES

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

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

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

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

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

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

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

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

ADDITIONAL FEES THAT MAY APPLY	AMOUNT
Deferral fee	Nil
Reassessment fee (students have a total of 2 attempts and any attempt thereafter will incur the stated fee)	\$100
Fees for late payment of course fees	\$100 per week for each week the payment for course fees is delayed
Credit transfer	Nil
RPL	Application fee of \$250

ADDITIONAL FEES THAT MAY APPLY	AMOUNT
	Unit fee \$500
Re-issuance of certificate	\$100

FEE PROTECTION

Fees paid by students are protected as follows:

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

PAYMENTS

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

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

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

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

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

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

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

CREDIT TRANSFER AND RPL

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

REFUNDS

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

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

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

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

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

DOMESTIC STUDENT REFUNDS

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

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

PROCEDURES

1. PROCESS INVOICES

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

2. MANAGE OVERDUE FEES

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

3. PROCESS REFUNDS

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

RESPONSIBILITIES

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

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

SUPPORT AND PROGRESSION

Policies and associated procedures in this section:

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

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

- Orientation Presentation
- Student Code of Conduct
- Student Support Plan
- External Support Referrals
- Complaints and Appeals Form
- Complaints and Appeals Register
- Intervention Form
- First Warning Letter for Unsatisfactory Course Progress/Attendance
- Second Warning Letter for Unsatisfactory Course Progress/Attendance
- Notice of Intention to Cancel Enrolment for Unsatisfactory Course Progress/Attendance
- Deferral Application Form
- Suspension Application Form
- Withdrawal Application Form.

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

STUDENT SUPPORT POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to student support. This ensures that support is provided to students to assist them to complete their studies.

This policy and associated procedures ensure that the requirements of Standards 2.1, 2.3, 2.4, 2.5 and 2.6 of the Outcome Standards for RTOs.

POLICY STATEMENTS

STUDENT SUPPORT

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

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

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

Support services provided by Kordon Institute of Technology can include:

- one-to-one support from the trainer/assessor – support may include extra tutoring sessions, clarifying unit content or assessment requirements, working with students to develop study plans to improve performance, providing answers to questions that students may have.
- support with personal issues, including wellbeing – support may include referrals to counselling or mental health professionals, assistance dealing with stress or culture shock, guidance on balancing study, work and life.
- access to additional learning resources – support may include providing access to supplementary reading materials, videos or interactive content, access to online forums or digital libraries and study skills guides.
- reasonable adjustment in training and assessment – support may include providing reasonable adjustments relating to extra time in assessment, oral assessment instead of written assessment, use of visual aids or simplified language instructions.
- social events – support may include organising social events such as cultural celebrations and welcome events, excursions to place of interest and sporting events.
- buddy program – support may include providing students with access to a buddy who can help to navigate the campus and online systems, provide practical advice, act as a friendly contact to reduce isolation and build social confidence and provide opportunities for language exchange and friendship.

- information about external sources of support – support may include providing students with further details of external services beyond those mentioned in the Student Handbook, for example, this could be community groups supporting multicultural or religious groups or financial counselling. These are included in the external referrals document.

The timeframes for each of the above services will be dependent upon student needs and will be reflected in a Student Support Plan.

Information about student support, including how and when students can access trainers and assessors and other support staff, is provided in a range of ways including through student handbooks, course entry interview process, orientation and ongoing updates.

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

As part of the enrolment process, Kordon Institute of Technology requires students to participate in a course entry interview. The course entry interview identifies student suitability for the course, as well as their support needs. Where a student is already studying and requires support, an interview is set up to discuss support needs.

Where support needs are identified, a Student Support Plan is developed. The Student Support Plan is regularly reviewed and adjusted as required.

Kordon Institute of Technology makes reasonable adjustments for students with a disability as per Part 3 of the Disability Standards for Education 2005.

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

Where Kordon Institute of Technology is unable to provide the support service required by the student, Kordon Institute of Technology will refer the student to an external provider.

Kordon Institute of Technology surveys students about support services provided and uses the feedback to improve services provided.

PROCEDURES

1. ASSESS STUDENT SUPPORT NEEDS DURING THE COURSE DEVELOPMENT PROCESS

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

- 1.5 Ensure all staff have access to up-to-date details of student support services.

2. ASSESS STUDENT SUPPORT NEEDS

- 2.1 Conduct interview to identify and assess student support needs. This may be as part of the course entry interview process for new students, or an interview specifically set up for students already studying to discuss their support needs. The interview will occur within 3 working days of the student support needs being identified.
- 2.2 At the interview, identify the student's support needs and discuss what support services may be useful. This should include discussing available internal support services as identified in the policy section of this document. Where the student highlights the need for external services that are outside the scope of services offered by Kordon Institute of Technology, use the external support referrals document to inform this discussion and provide this document to the student.
- 2.3 Use the Student Support Plan Form to document the student's needs and how these will be actioned.
- 2.4 Provide the completed Student Support Plan to the student within 3 working days of the Support Plan being completed. The Support Plan will also indicate where any support cannot be provided and why.
- 2.5 Monitor the Student Support Plan according to the support needs required and as per the monitoring plan in the Student Support Plan. In general, this will be weekly check ins to assess the student's progress. However, where support needs are more acute this could be daily.
- 2.6 Once the student no longer requires support based on the monitoring completed, finalise the Student Support Plan by including a progress report that the support requirements are finalised.
- 2.7 Within 5 working days of completion of support services, file the completed Student Support Plan and provide a finalised copy to the student for their reference. This should also include liaising with them to seek their evaluation of the support provided. Where improvements are identified, this should be actioned through the continuous improvement process.
- 2.8 Regularly review external support services to check their details are the same as referred to in the Student Handbook and Orientation PowerPoint and to enter in any new services.

3. PROVIDE ORIENTATION

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

4. MONITOR STUDENT SUPPORT NEEDS

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

5. EXTERNAL REFERRALS

- 5.1 Provide initial guidance to students facing personal issues that impact their academic performance, including mental health concerns, financial difficulties, housing problems, and family-related stress.
- 5.2 Refer issues that require professional intervention such as signs of mental health issues, legal matters to professional service providers as per the external referrals list and/or other specialised services as needed.

RESPONSIBILITIES

The CEO is responsible for:

- considering student support needs during the course development process
- conducting course entry interview and identifying student needs
- developing and monitoring the Student Support Plan
- evaluating the effectiveness of student support provided
- providing orientations.

The Administration Support Officer is responsible for:

- providing students with information about support services
- providing referrals to external services
- referring students to the CEO.

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

COMPLAINTS AND APPEALS POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to managing complaints and appeals. This is to ensure that complaints are handled in a transparent way, as well as fairly, efficiently and effectively.

This policy and associated procedures meet the requirements of Standard 2.7 the Outcome Standards for RTOs.

Note that mechanisms for providing feedback is addressed in our Quality Assurance Policy and Associated Procedures.

POLICY STATEMENTS

APPROACH

Complaints may be made against Kordon Institute of Technology, its trainers and assessors and other staff, a learner of Kordon Institute of Technology, as well as any third party providing services on behalf of Kordon Institute of Technology.

Complaints can be in relation to any aspect of Kordon Institute of Technology's services provided.

Appeals can be made in respect of any decision made by Kordon Institute of Technology. An appeal is a request for Kordon Institute of Technology decision to be reviewed in relation to a matter, including assessment appeals.

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

Kordon Institute of Technology will appoint relevant person/s to manage complaints and appeals.

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

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

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

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

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

All records of complaints and appeals will be kept by Kordon Institute of Technology and entered into the complaints and appeals register.

COMPLAINTS AND APPEALS PROCESS

Complaints and appeals are to be made as follows:

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

RESPONSE TO COMPLAINTS AND APPEALS

Complaints and appeals will be responded to as follows:

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

COMPLAINTS AND APPEALS HANDLING

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

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

ENROLMENT DURING A COMPLAINTS PROCESS

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

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

Additionally:

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

INDEPENDENT APPEAL PROCESS

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

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

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

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

All actions taken will be communicated in writing to students.

INFORMATION ABOUT EXTERNAL BODIES TO WHOM COMPLAINTS CAN BE MADE

Complaints can also be made to the organisations indicated below:

NATIONAL TRAINING COMPLAINTS HOTLINE:

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

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

Email: ntch@education.gov.au

AUSTRALIAN SKILLS QUALITY AUTHORITY (ASQA):

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

PROCEDURES

1. PROCESS COMPLAINTS AND APPEALS

- 1.1 File the complaints and appeals form received.
- 1.2 Send out an acknowledgement within 3 working days of receiving the complaint or appeal.
- 1.3 Record details of the complaint or appeal on receipt on the complaints and appeals register.
- 1.4 Determine whether the complaint or appeal can be resolved quickly and easily. If so, take immediate action to resolve the complaint or appeal and inform the student in writing of the outcome.

- 1.5 If the complaint is more complex, organise relevant staff to review the complaint and commence investigation.
- 1.6 Inform the complainant or appellant within 5 days of receiving the complaint that the investigation will commence or of the action that will occur in the case of simple complaints.
- 1.7 Conduct an investigation that includes:
- checking of all facts and accuracy of information
 - requesting further information as required
 - organising a meeting with the complainant/appellant
 - identifying relevant corrective/preventative action
 - confirming a solution.
- 1.8 Where the matter is an appeal about an assessment decision, the investigation process will include an independent review of the assessment evidence and decision by another assessor. A relevant independent assessor should be organised.
- 1.9 The investigation will be completed within 30 days, or if it is considered that it will take longer to than 60 calendar days to process, Kordon Institute of Technology will write to inform the complainant or appellant of this including the reasons for such. Following this update, regular updates will be provided of progress.
- 1.10 Where the process finds in favour of the student, organise a management meeting to discuss:
- the process and its outcome; and
 - actions to be taken to implement the decision, including both corrective/preventative actions.
- 1.11 Following the meeting, agreed actions will be immediately implemented.
- 1.12 Update the complaints and appeals register.
- 1.13 Once the investigation is complete, the complainant or appellant will be informed in writing of the outcome. Where the response is in relation to a complaint, the letter will advise that the internal appeals process may also be accessed.
- 1.14 Archive the complaint or appeal documentation.

2. ORGANISE EXTERNAL APPEALS

- 2.1 In cases where the student has organised the mediator, it will be responding to the mediator's requests.
- 2.2 Cooperate with all requirements of the mediator, providing all information as required.
- 2.3 Where the mediator finds in favour of the student, organise a management meeting to discuss:

- the external process and its outcome; and
- actions to be taken to implement the decision, including both corrective/preventative actions.

2.4 Following the meeting, agreed actions will be immediately implemented.

2.5 Advise the student of the action that Kordon Institute of Technology will take in response to the external mediator's decision.

RESPONSIBILITIES

The CEO is responsible for:

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

The Administration Support Officer is responsible for:

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

The Administration Support Officer is responsible for:

- processing complaints and appeals forms
- filing all documentation.

COURSE PROGRESS AND ATTENDANCE POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

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

This policy and associated procedures meet the requirements of Standard 2.3 the Outcome Standards for RTOs.

POLICY STATEMENTS

OVERVIEW

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

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

All records of course progress and monitoring will be kept.

MONITORING COURSE PROGRESS AND ATTENDANCE

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

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

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

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

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

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

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

INTERVENTION STRATEGY

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

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

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

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

EXCEPTIONS

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

EXTENSION TO AN EXPECTED COURSE DURATION

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

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

CANCELLING ENROLMENT

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

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

Kordon Institute of Technology will only cancel the student's enrolment if:

- the internal and external complaints processes have been completed and the decision or recommendation supports the registered provider; or

- the student has chosen not to access the internal complaints and appeals process within the 20 working day period; or
- the student has chosen not to access the external complaints and appeals process: or
- the student withdraws from the internal or external appeals processes by notifying Kordon Institute of Technology in writing.

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

PROCEDURES

1. ASSESS COURSE PROGRESS AND ATTENDANCE

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

2. PROVIDE FIRST WARNING AND COMMENCE INTERVENTION STRATEGY

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

3. PROVIDE SECOND WARNING

- 3.1 Where the student is still not meeting course progress/attendance requirements, send the student a Second Warning Letter of Unsatisfactory Course Progress/Attendance, which includes a further invitation to attend a meeting to discuss the issue. Include the letter on the student's file.
- 3.2 Use the Intervention Form to guide the meeting with the student.
- 3.3 Advise the student that despite the interventions agreed to, they have still not been making progress. Identify their reasons for such and document in the progress report section of the Intervention Form.
- 3.4 Document any agreed adjusted interventions on the Intervention Form and implement immediately.
- 3.5 Monitor progress through regular communication and document progress on form.
- 3.6 Sign off on form when the intervention is complete and the student is meeting course progress/attendance requirements.

4. ADVISE OF NOTICE OF INTENTION TO CANCEL

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

RESPONSIBILITIES

The CEO is responsible for:

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

The Administration Support Officer is responsible for:

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

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

DEFERRAL, SUSPENSION AND CANCELLATION POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to managing the enrolment of students, specifically deferrals, suspensions, and cancellations.

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

POLICY STATEMENTS

STUDENT-INITIATED DEFERRAL OR SUSPENSION OR CANCELLATION

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

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

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

Students may withdraw from their course at any time. Students are entitled to a refund as per Kordon Institute of Technology's Fees and Refunds Policy and Associated Procedures.

PROVIDER-INITIATED SUSPENSION OR CANCELLATION

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

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

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

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

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

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

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

PROCEDURES

1. PROCESS DEFERRALS

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

2. PROCESS STUDENT-INITIATED SUSPENSION OF ENROLMENT

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

3. PROCESS STUDENT-INITIATED CANCELLATION OF ENROLMENT

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

3.4 Record the student's withdrawal on the SMS.

4. MANAGE PROVIDER-INITIATED CANCELLATION OF ENROLMENT

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

RESPONSIBILITIES

The CEO is responsible for:

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

The Administration Support Officer is responsible for:

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

TRAINING AND ASSESSMENT

Policies and associated procedures in this section:

- Training and Assessment Policy and Associated Procedures
- Plagiarism Policy and Associated Procedures.

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

- Training and Assessment Strategy Template
- Training and Assessment Quality Review Tool
- Industry Survey
- Industry Consultation Register
- Industry Consultation Plan
- Learning Resources Quality Review Tool
- Assessment Review Plan Template
- Assessment Review Tool
- Validation Schedule
- Assessment Validation Tool
- Sample Assessment Review Checklist
- Transition Plan
- Internal Course Transfer Application Form.

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

TRAINING AND ASSESSMENT POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to ensure that high quality training and assessment is provided and which engages students and enables them to attain nationally recognised, industry relevant competencies.

This policy and associated procedures meet the requirements of Standards 1.1, 1.2, 1.3, 1.4, 1.5, 1.8, and 2.5 of the Outcome Standards for RTOs.

POLICY STATEMENTS

TRAINING

All training provided by Kordon Institute of Technology is consistent with the requirements of the training product.

Kordon Institute of Technology delivers training in the mode that will allow students to develop the required skills and knowledge consistent with the training product.

Kordon Institute of Technology provides training that is structured and paced in a way that helps students progress, giving them enough time for learning, practice, feedback, and assessment.

Training methods, activities, and resources are designed to engage students and enhance their understanding.

Kordon Institute of Technology ensures that where the training product requires work placements or other community-based learning, student will be able to gain the necessary skills and knowledge in that setting.

Kordon Institute of Technology develops and implements a range of systems and documentation to ensure that training is engaging, well-structured and enables students to attain skills and knowledge consistent with the training product including training and assessment strategies, session plans and work placement resources.

INDUSTRY ENGAGEMENT

Kordon Institute of Technology's training and assessment practices and strategies are informed by industry engagement to ensure that training and assessment reflect current industry practices.

Kordon Institute of Technology identifies and then engages with relevant industry, employer and/or community representatives to seek their advice and feedback on training and assessment practices and strategies.

Kordon Institute of Technology uses this advice and feedback to inform changes to training and assessment practices and strategies.

ASSESSMENT

Kordon Institute of Technology implements an assessment system that ensures that assessment (including RPL):

- meets the requirements of the relevant training product.
- is conducted in accordance with the Principles of Assessment and Rules of Evidence (see definitions in this document).

Kordon Institute of Technology reviews assessment tools prior to use to ensure assessment can be conducted consistent with the principles of assessment and rules of evidence. Assessment tools are updated as required based on the outcomes of the review.

Kordon Institute of Technology conducts assessment validation to meet the requirements of the Outcome Standards for RTOs.

Kordon Institute of Technology retains completed student assessment items for at least two years following the student's completion of the training product.

FACILITIES, RESOURCES AND EQUIPMENT

Kordon Institute of Technology identifies and documents the facilities, resources and equipment required to deliver the training product, including which of these will be provided by Kordon Institute of Technology or third parties as relevant.

Kordon Institute of Technology has strategies in place to ensure:

- the ongoing suitability and safety of all facilities, resources and equipment.
- that students have access to all of the facilities, resources and equipment required to participate in training and assessment.

Kordon Institute of Technology identifies and manages risks associated with facilities, resources and equipment used for work placements, or other community-based learning.

Resourcing regarding staffing and student support is addressed in our Staffing Policy and Associated Procedures and Student Support Policy and Associated Procedures.

LEARNING ENVIRONMENT

Kordon Institute of Technology ensures that the learning environment provided promotes and support the diversity of all students. Kordon Institute of Technology identifies and implements strategies to foster a safe and inclusive learning environment for all students, as well as a culturally safe learning environment for First Nations people.

TRANSITION OF TRAINING PRODUCTS

Kordon Institute of Technology ensures that:

- where a training product on its scope of registration is superseded, all training and assessment for students is completed and the relevant AQF certification documentation is issued or that students are transferred into its replacement, within a period of one year from the date the replacement training product was released on www.training.gov.au.

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

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

THIRD PARTIES

- All third parties who deliver training and assessment on Kordon Institute of Technology's behalf will be required to enter into a third-party agreement with Kordon Institute of Technology.
- Kordon Institute of Technology will monitor the provision of services by third parties to ensure services comply with the Outcome Standards for RTOs.

PROCEDURES

1. DEVELOP TRAINING AND ASSESSMENT STRATEGIES (TAS)

- 1.1 Identify suitable training products for inclusion on Kordon Institute of Technology's scope through research of workforce/target client needs. Document research as a form of industry engagement.
- 1.2 Develop a training and assessment strategy using Training and Assessment Strategy template. Follow the prompts in each section of the Training and Assessment Strategy template to develop a comprehensive, compliant TAS.
- 1.3 Use and complete the Training and Assessment Strategy Quality Review Tool to check that the Training and Assessment Strategy meets requirements, including meeting the requirements of the training product, utilising a suitable mode of delivery, providing sufficient time for instruction, practice, feedback and assessment, and utilising a suitable environment for work placements or other community-based learning.
- 1.4 Procure all the resources required for the implementation of the TAS including:
 - identifying appropriate learning and assessment resources and procuring these following appropriate due diligence checks or developing learning and assessment resources internally. See also the required actions under 3 and 4 about providing quality training and managing the assessment system.
 - identifying all facilities, equipment and resources required and procuring these accordingly.

- developing and completing a resources checklist that identifies all facilities, equipment and resources that the RTO will provide and the quantity of each as relevant. The resources checklist is developed based on the requirements specified in the assessment conditions for each unit of competency.
 - developing and completing an additional resources checklist that identifies all the facilities, equipment and resources that a third party (such as an employer or facility hirer) will provide and the quantity of each as relevant. The resources checklist is developed based on the requirements specified in the assessment conditions for each unit of competency.
 - identifying and documenting equipment and resources that students need to provide and providing this advice in course information for students.
- 1.5 Complete all actions associated with the Training and Assessment Strategy including identifying and procuring all the resources required and engaging with industry.
- 1.6 As relevant, apply for change of scope to RTO registration on ASQAnet following the instructions within ASQAnet and providing required evidence.
- 1.7 Review TAS as per Kordon Institute of Technology's Quality Assurance Policy and Associated Procedures and the process for ongoing industry engagement as outlined below.

2. ENGAGE WITH INDUSTRY

- 2.1 Identify suitable strategies for industry engagement for new courses and develop an industry consultation plan. This will generally include:
- completion of industry surveys with industry experts – these will generally be conducted face to face or over the phone. The results of the surveys will be recorded in the industry survey form and the expert will be required to sign off on the form
 - an industry research report – this will be developed to identify key skills needs and trends that need to be reflected in the TAS
 - ongoing engagement – for example, staff members' ongoing interactions with industry experts or their engagement with key information sources (such as webinars) that that inform training and assessment practices. These will be documented in the industry consultation register
 - any other input as relevant.
- 2.2 Identify suitable strategies for ongoing industry engagement and include these in the industry consultation plan. This will generally include:
- meeting with work placement providers to seek their input into training and assessment strategies and practices
 - ongoing industry research – documented in a research report
 - organising industry focus groups annually. These will include small groups of industry stakeholders who will meet as a group to discuss a range of issues relating to training and assessment strategies and practices.

- 2.3 Identify relevant industry employer and/or community representatives who can provide input into training and assessment strategies and practices by:
- identifying suitable professional associations
 - identifying suitable businesses
 - networking at industry events to identify appropriate contacts
 - using existing contacts.
- 2.4 Contact identified representatives and confirm their involvement.
- 2.5 Update industry consultation plan with details of representatives who will be involved.
- 2.6 Complete industry engagement as per the strategies identified above and review the feedback from industry engagement and document in the Industry Consultation Register. The review should identify key issues from the industry engagement and actions required to update training and assessment strategies and practices.
- 2.7 Review the feedback from industry engagement and document in the Industry Consultation Register.
- 2.8 Update TAS and other associated documentation based on the industry advice and feedback provided.

3. PROVIDE QUALITY TRAINING

- 3.1 Quality review learning resources using the Learning Resources Quality Review Tool prior to use to ensure they meet the requirements of the training product, can ensure quality training to meet the requirements of the Outcome Standards for RTOs and support the diversity of students.
- 3.2 Use the learning resources to deliver training.
- 3.3 Include an industry expert as part of the training delivery as required. For example, to provide a guest lecture on a specific area related to the trainer.
- 3.4 Regularly seek feedback from trainers and assessors and students on learning resources to ensure continuous improvement.

4. MANAGE ASSESSMENT SYSTEM

- 4.1 Quality review assessments, including RPL tools as relevant, using the Assessment Review Tool prior to use to ensure they meet the requirements of the training product and the principles of assessment and rules of evidence.
- 4.2 Conduct assessment using assessment tools as documented in the TAS, including RPL tools as relevant, and following the instructions included in the assessment tools including RPL tools as relevant.

- 4.3 Include an industry expert as part of the assessment as required. For example, to provide expert feedback as part of a process or observation included in the assessment.
- 4.4 Mark completed student work following the instructions in the assessment tools, including RPL tools.
- 4.5 Complete checks of sample student files to check marking is correct and all associated documentation is signed and dated. Use the Sample Assessment Review Checklist to record findings.
- 4.6 File completed student assessment items for two years following completion.
- 4.7 Archive or delete/shred completed student assessment items after two years following completion.

5. MANAGE FACILITIES, RESOURCES AND EQUIPMENT

- 5.1 Regularly review resources checklists to ensure they are up to date and accurate.
- 5.2 Add additional facilities, resources and equipment to the checklist as required.
- 5.3 Regularly seek feedback from trainers and assessors, students and employers on the suitability of facilities resources and equipment to ensure continuous improvement.
- 5.4 Complete inspections of the training facility as per the Health and Safety Policy and Associated Procedures.
- 5.5 Identify risks relating to work placements, or other community-based learning and include these on a risk register (see Governance Policy and Associated Procedures). As per the risk register, assess each risk and include strategies to manage the identified risks.
- 5.6 Identify suitable strategies for monitoring the suitability and safety of third party provision of facilities, resources and equipment. This may include:
 - Requesting photos or a short video walkthrough of key areas where students are working/training.
 - Participating in a meeting with the third party to seek up to date information on the student's learning environment and any issues or concerns regarding facilities, resources and equipment.
 - Seeking feedback from students and trainers and assessors of the learning environment and access to facilities, resources and equipment.
- 5.7 Document outcomes of monitoring as above in the Continuous Improvement Register.

6. MANAGE THE LEARNING ENVIRONMENT

- 6.1 Identify suitable strategies for promoting and supporting the diversity of students, including fostering a safe and inclusive learning environment for students and culturally safe learning environment for First Nations people. This includes:

- During orientation, informing students about the Student Code of Conduct and obligations relevant to diversity, safety and inclusivity.
 - During induction, informing staff about policies and procedures that to diversity, safety and inclusivity.
 - Requiring staff to complete short training modules relating to discrimination and harassment.
 - Acknowledging country at the commencement of a course.
 - Ensuring trainers and assessors complete ongoing professional development in inclusive teaching strategies.
 - Providing support services as set out in the Student Support Policy and Associated Procedures.
- 6.2 Regularly seek feedback from trainers and assessors, students and employers on the learning environment in terms of whether it promotes and supports diversity to ensure continuous improvement.
- 6.3 Document feedback on the diversity of the learning environment in the Continuous Improvement Register.

7. CONDUCT ASSESSMENT VALIDATION

- 7.1 Develop a validation plan using the Validation Schedule template and noting that each training product will be validated at least once every five years and on a more frequent basis based on awareness of risks to training outcomes, changes to the training product and feedback from students, trainers and assessors and industry.

The Validation Schedule must include:

- the training products that will be the focus of the validation
- the rationale for validating the identified training products
- when validation will occur
- sample size of assessments to be validated
- who will lead and participate in the validation noting that the validation team will collectively have:
 - industry competencies, skills and knowledge relevant to the training product
 - a practical understanding of current industry practices relevant to the training product
 - one of the credentials for validation specified in the Credential Policy.

It is also noted that validation may be undertaken by persons involved in the design or delivery and assessment of the training product being validated, as long as they are not solely responsible for determining the outcomes of validation.

Additionally, if an AQF qualification or skill set from the Training and Education Training Package that enables individuals to make assessment judgements is being validated, the person/s undertaking validation must be independent and not employed or subcontracted

by Kordon Institute of Technology to provide training and assessment and has no other involvement or interest in Kordon Institute of Technology and validation must occur following completion of training and assessment by the first cohort of students.

- 7.2 Organise the validation team as per the Validation Schedule requirements. This means selecting team members and inviting them to participate in the validation process, as well as securing their agreement to participate.
- 7.3 Notify the validation team of all validation details, including date, time and location.
- 7.4 Conduct validation for each unit as per the Validation Schedule and using Kordon Institute of Technology's Validation Tool.
- 7.5 Record the findings of the validation within the Validation Tool and Validation Schedule.
- 7.6 Update assessments/reassess students based on validation findings.
- 7.7 Record findings on the Continuous Improvement Register.

8. MANAGE TRANSITION OF TRAINING PRODUCTS

- 8.1 Identify superseded, deleted or expired training products by regularly reviewing the National Register and by being on the mailing list of the relevant Jobs and Skills Council.
- 8.2 Develop a transition plan using the Transition Plan template for superseded training products to include:
 - identification of students who can and can't complete within one year of the date of the training product being superseded
 - a plan for transitioning relevant students to the new qualification
 - identification of new resource requirements.
 - procurement of new resources requirements
 - submission of an application for change of scope where the training product is not equivalent
 - communication plan for all students and staff.
- 8.3 Implement the transition plan.

9. MANAGE THIRD PARTIES RESPONSIBLE FOR TRAINING AND/OR ASSESSMENT AND TRAINING SUPPORT SERVICES

- 9.1 Conduct due diligence of any third party that may be suitable for a third party agreement. This should also include checking that the third party is suitable as per the General Direction – third party arrangements.
- 9.2 Provide third party agreement for signing to any third party deemed suitable following due diligence.

- 9.3 Conduct third party induction following signing of agreement.
- 9.4 Advise ASQA via ASQAnet within 30 days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first.
- 9.5 Monitor third party at agreed intervals.
- 9.6 Where third party monitoring or feedback from students indicates that the third party may not be meeting the terms of their agreement, immediately investigate the issue.
- 9.7 Where the investigation confirms that the provider has not complied with their responsibilities as per the Third Party Agreement (except in the case of where the third party has engaged in false or misleading practices – see the following section), contact the third party in writing to advise the corrective actions that are required.
- 9.8 Implement relevant corrective actions.
- 9.9 Monitor corrective actions as required to ensure they are implemented.
- 9.10 File all documentation associated with monitoring.

10. TERMINATE THIRD PARTY CONTRACTS

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

RESPONSIBILITIES

The CEO is responsible for:

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

The Administration Support Officer is responsible for:

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

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

PLAGIARISM POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

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

This policy and associated procedures outline Kordon Institute of Technology's detection methods on the usage of Artificial Intelligence (AI) and Large Language Models (LLMs) in student assessment.

This policy and associated procedures assists in ensuring the requirements of Standard 1.5 of the Outcome Standards for RTOs are met.

POLICY STATEMENTS

STUDENT INTEGRITY AND HONESTY

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

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

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

Prior to commencing studies, students are provided with information about academic integrity, including information about expectations regarding AI and LLM usage as well as procedures for dealing with academic dishonesty and associated consequences, in Kordon Institute of Technology's Student Handbook and during orientation.

UNACCEPTABLE BEHAVIOUR

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

Usage of AI/LLM created work is not acceptable in any submission made as part of an official assessment at Kordon Institute of Technology. The use of such tools as aids for the purpose of brainstorming and idea generation are acceptable, but any use of them to generate answers to assessment questions directly is not allowed.

Student plagiarism, cheating and collusion in any form are unacceptable and will be treated seriously by Kordon Institute of Technology.

PROCEDURES

1. CHECK FOR PLAGIARISM, CHEATING OR COLLUSION

- 1.1 Inform students of Kordon Institute of Technology's plagiarism, cheating or collusion expectations which are outlined in the Code of Conduct in the Student Handbook prior to enrolment and during orientation.
- 1.2 Inform students about what is considered acceptable usage.
- 1.3 Upon the submission of all assessment tasks, students are required to sign an Assessment Cover Sheet that includes a declaration of the authenticity of the work. A student may wish to declare use of AI/ LLM and include a summary of what and how AI was used in the assessment.
- 1.4 Check students have completed declaration and if incomplete, request students to sign prior to marking assessment.

2. DETECTION OF PLAGIARISM, CHEATING AND COLLUSION

- 2.1 Conduct initial checks using tools designed to detect plagiarism, cheating and collusion. Methods for detecting plagiarism, cheating and collusion include:
 - identifying uncharacteristic usage of language by students
 - detecting text and formatting that is typically generated by LLM
 - answers that are not related to the actual content/intent of the assessment question; and
 - identifying responses where sources are real, but they aren't relevant to the context.
- 2.2 Use an AI detection tool such as Zero GPT (<https://www.zerogpt.com/>) or Grammarly.
- 2.3 Review findings and consider whether there are sufficient grounds to indicate the student has plagiarised, cheated or colluded. If so, identify whether an assessment is valid, utilising the following methods wherever applicable:
 - Cross reference with the student's written work that has taken place in a face to face setting.
 - Copy a portion of the assessment that has indicators of AI usage into a LLM and determine whether the responses match or are similar.
 - Question the student orally in class about the assessment and determine whether they understand the question and answer in a similar fashion.
- 2.4 Source evidence to support the allegation.

3. RESPOND TO INCIDENTS

- 3.1 Provide the student found to have plagiarised, cheated or colluded with an opportunity to respond to the allegations.
- 3.2 Send a written communication to the student outlining the issues.

- 3.3 In the case of AI/LLM usage, explain to the student what appropriate use is and refer them to the Student Code of Conduct.
- 3.4 Advise the student in writing that they will be required to redo the assessment in full or as a gap assessment and of any associated charges and that in the event of any further instances their enrolment may be cancelled.
- 3.5 Keep all records of the student's involvement in alleged plagiarism, cheating or collusion.

RESPONSIBILITIES

The CEO is responsible for managing plagiarism, cheating and collusion.

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

COMPLETION

Policies and associated procedures in this section:

- Student Enrolment and Completion Policy and Procedures.

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

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

- Testamur Template
- Record of Results
- Statement of Attainment Template.

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

REGULATORY COMPLIANCE AND GOVERNANCE

Policies and associated procedures in this section:

- Governance Policy and Associated Procedures.
- Staffing Policy and Associated Procedures
- Quality Assurance Policy and Associated Procedures
- Health and Safety Policy and Associated Procedures
- Critical Incident Policy and Associated Procedures
- Privacy Policy and Associated Procedures.

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

- Risk Register
- Staff Interview Form
- Trainer and Assessor Evidence File
- Induction Checklist
- Industry Currency Verification Form for Trainers and Assessors
- Working Under Direction Plan
- Position Description – CEO
- Position Description – RTO Manager
- Position Description – Trainer and Assessor
- Position Description – Administration and Student Support Officer
- Professional Development Plan and Log
- Internal Audit Checklist
- Internal Audit Report
- Continuous Improvement Register
- Feedback Form
- Orientation Survey.

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

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

GOVERNANCE POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to governance.

This policy and associated procedures meet the requirements of Standard 4.1, 4.2, and 4.3 of the Outcome Standards for RTOs, as well as accountability requirements in Compliance Standards and data collection and provision requirements as set out in the Data Provision Requirements 2020.

Note the Staffing Policy and Associated Procedures sets out the recruitment, selection and induction process to ensure that governing persons are suitable to oversee the operation of the RTO, including meeting Fit and Proper Person Requirements, as well as how roles and responsibilities are documented.

POLICY STATEMENTS

PRINCIPLES

Kordon Institute of Technology is committed to effective governance to support the quality and integrity of services provided.

All governing persons are suitable to oversee the operation of the RTO, including satisfying fit and proper person requirements.

All governing persons act diligently and make informed decisions compliance with all regulatory requirements.

Governing persons lead a culture of integrity, fairness and transparency in the delivery of services.

Kordon Institute of Technology defines and documents all roles and responsibilities and ensures that all staff and third parties understand their role and responsibilities, as well as associated legislative and regulatory requirements.

Kordon Institute of Technology identifies and manages relevant risks, including risks to student, staff Kordon Institute of Technology.

Kordon Institute of Technology ensures that all insurances are in place, including public liability insurance.

PROCEDURES

1. DELIVER QUALITY SERVICES THROUGH EFFECTIVE GOVERNANCE

- 1.1 Schedule regular management meetings and record all meeting minutes.
- 1.2 Include an agenda item for management meetings to address ongoing regulatory requirements, including any changes.
- 1.3 Seek advice from experts (for example, legal and accounting) to assist with effective governance as required.

- 1.4 Require all individuals to complete a conflict of interest declaration if a potential or actual conflict arises and log this in the conflict of interest log, including actions to be taken.

2. DEFINE ROLES AND RESPONSIBILITIES

- 2.1 Develop position descriptions for all roles within the RTO as per the Staffing Policy and Associated Procedures.
- 2.2 Develop and update as required an organisation chart that clearly shows all roles within the RTO, including lines of accountability.
- 2.3 Complete the induction process as set out in the Staffing Policy and Associated Procedures to ensure staff, including governing persons, understand their roles, as well as legislative and regulatory requirements relevant to their roles.
- 2.4 Follow the Third Party Policy and Associated Procedures to ensure that third parties are aware of their obligations and meet all regulatory requirements.

3. MANAGE RISKS

- 3.1 Identify relevant risks to students, staff and the RTO, including financial risks. Risks can be identified through a range of ways including:
 - Regularly reviewing regulatory information and updates
 - Environmental scanning
 - Self-assessments to identify compliance gaps
 - Feedback from stakeholders
 - Brainstorming sessions.
- 3.2 Document risks on the risk register, including assessing the likelihood and consequences of the risk and strategies to control these risks.
- 3.3 Develop a financial plan that sets out Kordon Institute of Technology financial position and ongoing financial performance and cash flows, as well as strategies that will be used to monitor and oversee Kordon Institute of Technology financial position and ongoing financial performance and cash flows
- 3.4 Regularly update the financial plan as required.
- 3.5 Identify all insurance requirements, including public liability, and maintain insurance as required.

4. MEET DATA COLLECTION AND PROVISION REQUIREMENTS

- 4.1 Kordon Institute of Technology uses the RTO obligations checklist published by ASQA to keep track of key dates and meet the required obligations.
- 4.2 Kordon Institute of Technology collects data from students on enrolment using the Application for Enrolment Form and reports this information, as well as competency

enrolments delivered, and outcomes achieved. Reporting occurs on the last day of February and through our AVETMISS compliant SMS.

- 4.3 Kordon Institute of Technology submits an Annual Declaration on Compliance each year by the last day of February. Our Annual Declaration on Compliance is completed based on our ongoing compliance auditing and review as set out in our Compliance Schedule.
- 4.4 Kordon Institute of Technology completes a quality indicator annual summary report for calendar year and submit to ASQA by 30 June each year.
- 4.5 Kordon Institute of Technology complies with all other obligations including:
- updating details in ASQAnet when required including:
 - the email and phone number of the CEO if it changes
 - paying the Annual Registration Charge invoice by 31st July each year
 - checking when registration expires and submitting renewals at least 90 days before expiry.
- 4.6 Kordon Institute of Technology cooperates with ASQA at all times and provides accurate and truthful responses to information requests. Kordon Institute of Technology will provide data to ASQA as requested and as per the information included on ASQA's website at: <https://www.asqa.gov.au/rto/responsibilities/data-collection-and-provision>
- 4.7 Kordon Institute of Technology will notify ASQA in writing (via ASQAnet) as soon as practicable and no later than 10 business days after becoming aware of the following:
- a substantial change to operations or any event that would significantly affect the ability of Kordon Institute of Technology to comply with regulatory requirements, including the Outcome Standards for RTOs.
 - there is a change to the name or contact details of a person who has a degree of control or influence over the management or direction of Kordon Institute of Technology.
 - there are, or are likely to be, other materials changes to the operations of the RTO, including changes of ownership.

Note that regarding change of ownership, an exception to the above is that ASQA must be informed before a change of ownership takes place and within 90 days of the change of ownership.

- 4.8 Kordon Institute of Technology retains, archives, retrieves and transfers records as required. Record keeping is set out as relevant in each policy and associated procedures and in the event of closure, we will transfer all records as required by ASQA at that time.

RESPONSIBILITIES

The CEO has overall responsibility for governance as set out in this policy and associated procedures.

STAFFING POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to recruitment, selection, induction and professional development to ensure that there are suitable, qualified and sufficient staff in place.

This policy and associated procedures meet the requirements of Standard 3.1, 3.2, 3.3, 4.1 and 4.2 of the Outcome Standards for RTOs, as well as the Credential Policy.

POLICY STATEMENTS

PRINCIPLES

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

Kordon Institute of Technology is committed to equal opportunity in employment and to providing a work environment that is free from harassment and discrimination.

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

Kordon Institute of Technology will ensure that the best possible staff are attracted by advertising widely all vacant positions.

All governing persons are suitable to oversee the operation of the RTO, including satisfying fit and proper person requirements.

All roles and responsibilities are clearly identified and documented.

Kordon Institute of Technology will identify the number of trainers and assessors and other staff required to deliver services and recruit accordingly.

Kordon Institute of Technology will facilitate access to professional development for all staff. Trainers and assessors will participate in continuing professional development to maintain current skills and knowledge in training and assessment, including engaging and supporting VET students.

Kordon Institute of Technology will recruit training and assessment staff that meet the requirements of Standards 3.2 and 3.3 and the Credential Policy.

Kordon Institute of Technology will ensure that arrangements are in place to ensure the requirements of the Credential Policy are met regarding individuals working towards a training and assessment credential or training and assessing under direction. Note that where the person is actively working towards a training and assessment credential or working under the direction of a trainer or assessor, they can deliver training and contribute to assessment (including conducting assessment and collecting assessment evidence), provided they work under the direction of a trainer or assessor. For those working towards a training and assessment credential, they can make assessment judgements if they meet the requirements set out in 1B of the Credential Policy. For those working under direction, assessment judgements cannot be made.

Kordon Institute of Technology will recruit qualified industry experts to work alongside trainers and/or assessors to conduct the training and/or assessment as required.

PROCEDURES

1. RECRUIT AND SELECT STAFF

1.1 Identify staffing needs. Staffing needs will be identified through:

- regular workforce planning reviews to assess staffing needs based on student enrolment numbers, course demand, and delivery modes (for example, online, face-to-face, blended).
- identifying enrolment projections and intake schedules and then using this information to determine trainer/assessor requirements in advance.
- setting and monitoring trainer and assessor to student ratio benchmarks for different course types and delivery methods. These are included in each Training and Assessment Strategy and will be updated as relevant.
- collecting and analysing data on student outcomes and feedback, trainer and assessor performance and feedback, student support services usage and using this data to identify areas where more staff may be needed or where roles need adjustment.

1.2 Develop a position description or access an existing position description. Ensure all information in the position description is accurate and identifies the key responsibilities, key selection criteria and desirable skills and attributes.

For trainers and assessors, the requirements of 3.2 and 3.3 of the Outcome Standards for RTOs and the Credential Policy must be clearly included. In summary this means that trainers and assessor must:

- hold the training and assessment credential as documented in 1A of the Credential Policy
- have industry competencies, skills and knowledge that are relevant to, and at least to the level of, the training product being delivered and/or assessed
- maintain an understanding of current industry practices
- undertake continuing professional development to maintain current skills and knowledge in training and assessment, including engaging and supporting VET students.

1.3 Develop an advertisement for the position and advertise the position using the preferred recruitment channels. The advertisement will include the purpose of the role, key selection criteria, mandatory qualifications as relevant and a contact name and number.

1.4 Develop a short list of suitable candidates.

1.5 Interview shortlisted candidates using Staff Interview Form.

1.6 Select the most suitable candidate and check referees.

1.7 Verify the qualifications of all staff and keep on file. Verification is to occur through contacting the issuer of the qualification and having them verify as per their own procedures

that the qualification is authentic. For trainers and assessors, verification can also be through the USI.

- 1.8 Send out a letter of engagement and contract to successful candidate/s and rejection letters to unsuccessful candidates.
- 1.9 Provide the Fit and Proper Person Requirements form for completion to governing persons including executive officers, high managerial agents and any persons who exercise a degree of control or influence over the management or direction of the RTO.
- 1.10 Check the information in the form and action any areas of concern accordingly. This may include but is not limited to:
 - inquiring with the individual about any information of concern in the form
 - following up that information with others if permitted to do so by the individual and privacy laws
 - making file notes on the outcomes of the inquiry.

2. RECRUIT AND SELECT INDUSTRY EXPERTS

- 2.1 Identify the need for an industry expert to work alongside a trainer and assessor. Note this must be based on a specific need for expertise related to the training product or the student cohort and this need must be documented.
- 2.2 Source a suitable industry expert. This may be from existing networks or by using networks such as LinkedIn or asking contacts about suitable contacts.
- 2.3 Interview the industry expert to confirm they have relevant industry competencies, skills and knowledge and specialised industry or subject matter expertise as required for the training product being delivered and assessed.
- 2.4 Agree on the services to be provided by the industry expert which may include but is not limited to:
 - guest speaking during training delivery
 - observing students performing specialist industry tasks
 - confirming students' understanding of specialist industry processes as part of an assessment.
- 2.5 Document the agreed services in a contract, including that the industry expert must be working under the direction of a person with the credentials specified in the Credential Policy and, where the expert is involved in the assessment judgement, they work alongside the trainer or assessor to conduct the assessment.
- 2.6 Prepare a file to demonstrate that the industry expert has the relevant industry competencies, skills and knowledge and specialised industry or subject matter expertise as required for the training product being delivered and assessed. The documentation could include but is not limited to:
 - resume

- any relevant licences
- qualifications and/or statements of attainment
- references
- membership of associations
- descriptions of industry competencies, skills and knowledge and specialised industry or subject matter expertise specific to the training product.

2.7 Assign the relevant trainer and assessor to work with the industry expert so that it can be ensured that the industry expert is working under the direction of a person with the credentials specified in 1E of the Credential Policy and, where the expert is involved in the assessment judgement, they work alongside the trainer or assessor to conduct the assessment.

3. INDUCT STAFF

- 3.1 Create a staff file for the new staff member. For trainers and assessors, the Trainer Assessor Evidence File and Professional Development Plan and Log must also be completed and maintained.
- 3.2 File all relevant documentation including qualifications and experience. Trainer and assessor files must include all documentation as per the requirements of Standards 3.1, 3.2 and 3.3 of the Outcome Standards for RTOs must be clearly included.
- 3.3 Provide an induction for staff using Induction Checklist. Note that the induction will ensure that all executive officers, high managerial agents and any persons who exercise a degree of control or influence over the management or direction of the RTO will be informed that they will be required to declare where there has been any specific change to the information in their Fit and Proper Person Requirements information within 5 working days of that change occurring.
- 3.4 File the Induction Checklist.

4. TRAINERS AND ASSESSORS WORKING TOWARDS A TRAINING AND ASSESSMENT CREDIT OR TRAINING AND ASSESSING UNDER DIRECTION

- 4.1 Ensure the trainer and assessor working towards a training and assessment credit or training and assessing under direction has completed the trainer and assessor evidence file to demonstrate that they:
- hold the relevant training and assessment credential which means:
 - for trainers and assessors working towards a training and assessment credential (1C of the Credential Policy), they must be:
 - enrolled in and have commenced training in either the TAE40122 Certificate IV in Training and Assessment or its successor, or TAE50122 Diploma of Vocational Education and Training or its successor, and
 - making satisfactory progress to enable the credential to be completed within two years of commencement.

- for trainers and assessors working under direction, they must have the training and assessment credential specified in 1D of the Credential Policy, that is relevant to the learner cohort which the individual is involved in training and assessing.
 - have industry competencies, skills and knowledge that are relevant to, and at least to the level of, the training product being delivered and/or assessed.
 - maintain an understanding of current industry practices.
- 4.2 Allocate a qualified trainer and assessor to provide direction (supervision) for each trainer and assessor that is not yet qualified. The supervising trainer and assessor must be a fully qualified trainer and assessor and hold the credentials specified in 1E of the Credential Policy.
- 4.3 Set up a schedule of pre-delivery meetings where the supervising trainer and assessor will meet with the trainer and assessor actively working towards a training and assessment credential or working under direction. These meetings will focus on reviewing content and the delivery approach, discussing learning activities and addressing any issues.
- 4.4 Schedule full or partial sessions that the trainer and assessor actively working towards a training and assessment credential or working under direction can provide. These will also be observed by the supervising trainer and assessor. The number of sessions will be dependent on the skills, knowledge and experience of the trainer and assessor actively working towards a training and assessment credential or working under direction and their progress with their TAE qualification or skill set.
- 4.5 Set up a schedule of post-delivery meetings where the supervising trainer and assessor will meet with the trainer and assessor actively working towards a training and assessment credential or working under direction. These meetings will focus on reviewing and reflecting on performance and addressing any issues.
- 4.6 The above details are documented in a Working Under Direction Plan. The plan also allows for the monitoring of the arrangement and then to sign off that the trainer and assessor is fully qualified.

5. ORGANISE AND MONITOR PROFESSIONAL DEVELOPMENT

- 5.1 Identify how access to professional development can best be facilitated. This may include:
- scheduling time during work hours for staff to participate in professional development.
 - allowing flexible work arrangements to accommodate professional development.
 - offering in house training.
 - paying or part paying for external professional development.
 - providing access to learning resources
 - creating a professional development calendar.
- promoting collaborative learning and mentoring.

- 5.2 Organise professional development to meet Kordon Institute of Technology's needs as outlined below.

VET Trainers and Assessors

- Trainers and Assessors are provided with and must complete a Professional Development Plan and Log.
- The Professional Development Plan and Log is to be updated each time a trainer and assessor completes a professional development activity or schedules in a professional development activity.
- Trainers and assessors must ensure that all three areas of professional development as follows are covered in each 12-month period: VET industry knowledge; Training and assessment practices; Industry currency, skills and knowledge practices.
- Trainers are informed of all the above requirements.

All other staff:

- All staff are provided with and must complete a Professional Development Plan and Log.
- The Professional Development Plan and Log will identify and document professional development which will enable staff to effectively perform their roles. Staff are required to participate in professional development at least twice a year and Kordon Institute of Technology will facilitate access for staff to professional development.
- The Professional Development Plan and Log is to be updated each time the staff member completes a professional development activity or schedules in a professional development activity.

- 5.3 Professional development will be reviewed as part of the trainers and assessors annual performance review.

- 5.4 File all professional development documentation.

6. CONDUCT PERFORMANCE REVIEWS

- 6.1 Conduct annual performance reviews which will broadly address the following areas:

- Job performance including quality of work, productivity, problem-solving.
- Skills and competencies, including technical/industry skills, communication skills, adaptability.
- Teamwork and collaboration, including cooperation, reliability and conflict resolution.
- Initiative and innovation, including proactivity, creativity, continuous improvement.
- Work ethics and professionalism, including integrity, professionalism and punctuality.
- Goal achievement, including goal setting, performance against goals and contribution against goals.
- Feedback and development, including receptiveness to feedback, self-assessment and professional development.

6.2 Document results of the performance review.

6.3 Monitor actions arising out of the performance review.

7. CONDUCT STAFF MEETINGS

7.1 Schedule staff meetings to discuss operational matters.

7.2 Schedule specific academic staff meetings to discuss academic issues including:

- course content
- VET teaching
- course improvements.

7.3 Monitor actions arising out of the performance review.

RESPONSIBILITIES

The CEO is responsible for all aspects of staff recruitment, induction and professional development outlined in this policy and associated procedures.

Supervising trainers and assessors are responsible for working with trainers and assessors under supervision.

QUALITY ASSURANCE POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

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

This policy and associated procedures meet the requirements of Standard 4.4 of the Standards for RTOs.

POLICY STATEMENTS

QUALITY APPROACH

Kordon Institute of Technology is committed to continuous improvement to support the quality of services provided.

Quality forms part of Kordon Institute of Technology's overall commitment and all services provided are delivered to the highest possible standards.

Kordon Institute of Technology has a range of mechanisms in place for collecting and analysing data and feedback from students, staff, industry, employers and regulators.

Kordon Institute of Technology monitors and evaluates its performance against the Standards and uses the outcomes to inform continuous improvement.

PROCEDURES

1. COLLECT, ANALYSE AND ACT UPON DATA AND FEEDBACK FROM STUDENTS

- 1.1 Use surveys and feedback mechanisms to collect data and feedback from students. This will include:
 - providing an Orientation Survey to students at their orientation to assess their pre-enrolment and orientation experience.
 - providing the Learner Questionnaire (quality indicator form) to students before they complete their course.
 - informing students in the Handbook and at orientation as to how they can provide feedback through completing the Feedback Form.
- 1.2 Identify the need for additional surveys of students and develop and implement as required.
- 1.3 Analyse and document the findings of all data and feedback collected. Analysis may include:
 - Identifying key trends or patterns in responses.
 - Using descriptive statistics such as percentages and averages to highlight findings.
 - Comparing results across different cohorts.
 - Identifying unexpected results or anomalies and their implications.

- 1.4 Where the analysis indicates that improvements are required, include these findings on the Continuous Improvement Register and identify required actions and associated responsibilities and timelines.
- 1.5 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 1.6 Monitor completion of actions and document outcomes on the Continuous Improvement Register.
- 1.7 Complete quality indicator annual summary report for calendar year and submit to ASQA by 30 June each year.

2. COLLECT, ANALYSE AND ACT UPON DATA AND FEEDBACK FROM STAFF

- 2.1 Ensure that staff can provide feedback at all staff meetings by including an agenda item for such. Meetings may be whole of staff meetings or teams such as academic teams.
- 2.2 Ensure that all staff are aware that they can provide feedback outside of meetings by completing a feedback form.
- 2.3 Identify the need for additional ways to seek data and feedback from staff and develop and implement as required.
- 2.4 Analyse the findings of all data and feedback collected. Analysis may include:
 - Identifying key trends or patterns in responses.
 - Using descriptive statistics such as percentages and averages to highlight findings.
 - Identifying unexpected results or anomalies and their implications.
- 2.5 Where the analysis indicates that improvements are required, include these findings on the Continuous Improvement Register and identify required actions and associated responsibilities and timelines.
- 2.6 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 2.7 Monitor completion of actions and document outcomes on the Continuous Improvement Register.

3. COLLECT, ANALYSE AND ACT UPON DATA AND FEEDBACK FROM OTHER STAKEHOLDERS

- 3.1 Identify relevant stakeholders to collect data and feedback from. This may include employers, industry stakeholders and regulators as relevant.
- 3.2 Use surveys and feedback mechanism to collect data and feedback from stakeholders. This will include:

- providing the Employer Questionnaire (quality indicator form) to employers prior to students they employ completing their course
 - completing industry consultation as outlined in the Training and Assessment Policy and Associated Procedures.
- 3.3 Identify the need for additional ways to seek data and feedback from other stakeholders and develop and implement as required.
- 3.4 Analyse and document the findings of all data and feedback collected. Analysis may include:
- Identifying key trends or patterns in responses.
 - Using descriptive statistics such as percentages and averages to highlight findings.
 - Comparing results across different cohorts.
 - Identifying unexpected results or anomalies and their implications.
- 3.5 Where the analysis indicates that improvements are required, include these findings on the Continuous Improvement Register and identify required actions and associated responsibilities and timelines.
- 3.6 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 3.7 Monitor completion of actions and document outcomes on the Continuous Improvement Register.
- 3.8 Where the analysis indicates that improvements are required, include these findings on the Continuous Improvement Register and identify required actions and associated responsibilities and timelines.
- 3.9 Complete quality indicator annual summary report for calendar year and submit to ASQA by 30 June each year.

4. COMPLETE ONGOING REVIEW OF QUALITY AND COMPLIANCE

- 4.1 Develop a quality and compliance schedule to ensure that each aspect of Kordon Institute of Technology's operations is audited and reviewed.
- 4.2 Organise an external consultant at least annually to complete an internal audit.
- 4.3 Where the outcome of the compliance review indicates that improvements are required, include these findings on the Continuous Improvement Register and identify required actions and associated responsibilities and timelines.
- 4.4 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 4.5 Monitor completion of actions and document outcomes on the Continuous Improvement Register.

RESPONSIBILITIES

The CEO is responsible for all aspects of quality assurance as outlined in this policy and associated procedures.

HEALTH AND SAFETY POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to managing health and safety of all staff, students, contractors and visitors.

This policy and associated procedures meet the requirements of Standard 4.3 of the Outcome Standards for RTOs and compliance with other requirements in the Compliance Standards.

POLICY STATEMENTS

COMPLIANCE WITH LEGISLATION

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

ORGANISATION RESPONSIBILITY AND COMMITMENT

Kordon Institute of Technology is committed to:

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

STAFF RESPONSIBILITY

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

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

HEALTH AND SAFETY CONSULTATION AND COMMUNICATION

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

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

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

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

REPORTING

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

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

RECORD KEEPING

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

PROCEDURES

1. MANAGE WORK HEALTH AND SAFETY MANAGEMENT SYSTEM

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

2. CONDUCT WORKPLACE INSPECTIONS

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

3. RESPOND TO INCIDENTS

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

RESPONSIBILITIES

The CEO is responsible for overall health and safety management and ensuring health and safety at all times and consulting staff on WHS.

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

CRITICAL INCIDENT POLICY AND ASSOCIATED PROCEDURES

RESPONSIBILITIES

This policy and associated procedures outline Kordon Institute of Technology's approach to managing critical incidents.

This policy and associated procedures meet the requirements of Standard 4.3 of the Outcome Standards for RTOs and compliance with other requirements in the Compliance Standards.

POLICY STATEMENTS

APPROACH TO CRITICAL INCIDENTS

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

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

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

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

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

Kordon Institute of Technology response to critical incidents will be evaluated following each critical incident. Any improvements identified will be implemented as required.

All records of critical incidents will be filed.

PROCEDURES

1. RESPOND TO A CRITICAL INCIDENT

- 1.1 Immediately call the emergency services on 000 in the event of death or an immediate threat to the life of a person or to property.
- 1.2 Action evacuation procedures if required.
- 1.3 Immediately report incident to a member of Kordon Institute of Technology's management team.
- 1.4 Establish a Critical Incident Team who will meet immediately following the incident to assess the facts of the situation, who has been affected and discuss the priorities and actions to be taken. Roles and responsibilities will be allocated.

1.5 Assess required actions which may include but are not limited to:

- alerting emergency contacts
- nominating a member of the Critical Incident Team to be a main point of contact
- liaising with external agencies, including emergency services
- issuing a media release advising of the situation
- informing all staff and students of the critical incident situation
- regularly updating all staff and students of the critical incident situation
- organising emergency counselling for those affected
- providing details of support services that can be provided
- seeking legal advice
- assisting students with insurance claims.

1.6 Document all actions in a critical incident action plan.

1.7 Implement the critical incident action plan.

1.8 Adjust the critical incident action plan as required.

2. EVALUATE CRITICAL INCIDENTS

2.1 The Critical Incident Team formed for the specific critical incident will meet as soon as possible after the critical incident to complete all of the following actions.

2.2 Review the actions taken and perceived effectiveness of the response.

2.3 Identify any recommendations for improvement.

2.4 Action recommendations for improvement.

RESPONSIBILITIES

The CEO is responsible for coordinating the critical incident response.

The Administration Support Officer is responsible for assisting with the critical incident response.

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

PRIVACY POLICY AND ASSOCIATED PROCEDURES

PURPOSE OF THE POLICY

This policy and associated procedures outline Kordon Institute of Technology's approach to ensuring the privacy and confidentiality of all of its staff, students and relevant others.

This policy and associated procedures meet the requirements of information management of Standard 4.3 of the Outcome Standards for RTOs and Compliance Standards (Section 1) regarding information management, as well as the National VET Regulator (Data Provision Requirements) Instrument 2020 and National VET Data Policy.

POLICY STATEMENTS

PRIVACY LEGISLATION AND PRINCIPLES

Kordon Institute of Technology has adopted the Australian Privacy Principles contained in the Privacy Act 1988.

COLLECTION OF PERSONAL INFORMATION

Kordon Institute of Technology collects personal information only for the purposes of its business operations.

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

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

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

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

Staff contracts refer to privacy rights and obligations.

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

All persons have the right to make a complaint or appeal in relation to privacy matters as per Kordon Institute of Technology's Complaints and Appeals Policy and Procedures.

SENSITIVE INFORMATION

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

Sensitive information will only be used by Kordon Institute of Technology:

- for the primary purpose for which it was obtained

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

PROCEDURES

1. MANAGE PERSONAL INFORMATION

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

2. PROVIDE ACCESS TO RECORDS

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

RESPONSIBILITIES

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

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