

# TACIS

# Policy and Procedure

# Manual

## Contents

Introduction .....	3
Training and Assessment Strategy Policy and Procedure (Standard 1).....	4
Industry Engagement Policy (Standard 1).....	5
Assessment Policy and Procedure (Standard 1).....	7
Complaints and Appeals Policy and Procedure (Standard 1, Standard 6).....	10
Validation and Moderation Policy and Procedure (Standard 1) .....	15
Credit Transfer and Recognition of Prior Learning (RPL) (Standard 1) .....	19
Staff Engagement Policy and Procedure (Standard 1) .....	22
Learning Needs Analysis Policy and Procedure (Standard 1).....	25
Training Package Transition Arrangements (Standard 1).....	28
Quality Management Policy and Procedure (Standard 2) .....	31
Qualification Issuance Policy and Procedure (Standard 3).....	34
Records Management Policy and Procedure (Standard 3).....	41
Marketing Policy and Procedure (Standard 4) .....	46
Student Engagement Policy and Procedure (Standard 5) .....	49
Education Agents Policy and Procedure.....	51
Critical Incident Policy and Procedures (Standard 6).....	54
Critical Incident Reporting and Recording.....	57
Appendix A Staff Training: Things to Remember .....	68
Appendix B Sample Letter.....	70
Appendix C Media Hints .....	70
Appendix D Police Involvement.....	74
Appendix E Preparing for Funerals.....	75
Disclaimer: .....	77
Policy & Procedure Handbook Acknowledgement Form.....	78

## **Introduction**

The Australia College for International Studies (TACIS), a trading name of CHC Services Pty Ltd (a Registered Training Organization: 32463 and CRICOS Provider Number: 03396F) has prepared this Policy and Procedure Manual to provide you with an overview of TACIS's policies and procedures. This Manual provides important information and guidelines for your employment experience with us. The purpose of this Manual is to provide staff with the policies and regulations governing staff and contract workers of TACIS, in an effort to foster a healthy working relationship and environment. It is not intended to be an expressed or implied contract.

Every staff or contract worker will be given a copy of this Manual on their first day, as part of the induction program. It is important that you become familiar with its contents and keep it in a place where you can refer to it when needed. When starting employment with TACIS, you will need to attend an induction meeting provided by the CEO, RTO Manager and/or administration staff (as required). This meeting will take place either as part of a group or individually.

This Manual is not a substitute for sound management, judgment and discretion. It is obviously not possible to anticipate every situation that may arise in the workplace or to provide information that answers every possible question. In addition, circumstances will undoubtedly require that policies, practices and benefits described in this Manual change from time to time. Accordingly, TACIS may modify or revise any part of this Manual as it deems necessary or appropriate. TACIS will inform its staff of any changes made.

No business is free from day-to-day issues so it is hoped that all of us will work together to make TACIS a viable, healthy and quality training organization. TACIS is committed to providing a working environment that promotes genuine concern and respect for everyone, including all staff and students.

There is also a form for you to sign to confirm that you have received, read and understood the contents of this Manual. If you have any questions about the information in this Manual, please contact the CEO and/or the RTO Manager.

Sincerely yours,



**Qingyang WEI**

**CEO**

**The Australia College for International Studies (TACIS)**

**A trading name of CHC Services Pty Ltd**

## **Training and Assessment Strategy Policy and Procedure (Standard 1)**

TACIS identifies, negotiates, plans and implements the appropriate Training and Assessment strategies to meet the needs of each of its clients for all qualifications currently on its scope of registration.

Each Training and Assessment Strategy (TAS) at TACIS is required to identify the proposed target groups, learning and assessment modes and strategies, the assessment validation processes to be utilised and the pathways available for further training options. The strategies are developed in full consultation with relevant enterprises and industries.

TACIS reviews, compares and evaluates its current assessment processes, tools and evidence that are contributing to judgements by way of validation meetings with a range of assessors who are delivering the same competency standards.

TACIS documents any action taken to improve the quality and consistency of the assessment and the relevant assessment tools.

TACIS ensures that whilst developing, adapting or delivering training and or assessment products and services:

1. All methods used to identify learning needs and methods for designing training and assessment materials are fully documented;
2. The requirements of the relevant National Training Package or accredited course curriculum are met.
3. Relevant industry consultation has been conducted.
4. Steps are taken to manage the transition to reviewed Training Packages within 12 months of their publication.
5. Core and elective units, as appropriate, are identified in collaboration with industry experts.
6. Customization meets the requirements specified in the relevant Training Package.
7. All assessment methods are outlined as per the Training Package requirements.
8. Principles of Assessment and Rules of Evidence are identified and applied accordingly.
9. Language, literacy and numeracy requirements develop the learning capacity of the individual and are consistent with the essential requirements for workplace performance specified in the relevant units of competency.
10. Delivery modes and training and assessment materials which meet the needs of a diverse range of clients are identified.

TACIS ensures that it has access to the staff, facilities, equipment, training and assessment materials required to provide the training and/or assessment services within its scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment.

### ***Relevant Documents and Forms:***

***Industry Consultation Form (template and completed records)***

***Training and Assessment Strategy (current and previous versions)***

## **Industry Engagement Policy (Standard 1)**

**At TACIS, we recognise that engagement with industry representatives is critically important to developing training and assessment strategies and resources that accurately reflect the needs of industry and the expectation of employees.**

***Standards for Registered Training Organisations 2015* require that TACIS's training and assessment practices are relevant to the needs of industry and informed by industry engagement.**

**TACIS implements a range of strategies for industry engagement and systematically uses the outcomes of industry engagement to ensure the industry relevance of:**

- **its training and assessment strategies, practices and resources; and**
- **the current industry skills of its trainers and assessors**

**To achieve these requirements, TACIS will apply a number of ways to seek industry feedback on the appropriateness of training and assessment strategies and resources. These include:**

**Industry engagement workshop. Industry engagement workshops are opportunities to invite employers and other industry representatives to a workshop where training and assessment strategies are presented and discussed. We will also use these opportunities to review a number of resources which typify the intent of the delivery and assessment methods. The outcomes of these opportunities are to be recorded in the form of minutes to enable actions to occur and as a point of reference for future activities. Identified opportunities for improvement are to be recorded in TACIS ' Continuous Improvement Register.**

**Employer survey. Employer surveys are part of the Quality Indicator Resources. These survey tools collect quantitative data on the employer's observations of training quality, the work readiness of employees and training conditions. The results from surveys are entered into and collated using the survey database. This software platform also provides reporting on performance using a pre-determined scale of performance indicators. This reporting is very useful to TACIS Management Team.**

**Direct industry engagement. We will also undertake direct industry engagement. This involves making time to visit a representative selection of employers in their workplace. It will usually involve an interview and a joint review of a resource or strategy with the employer. This may be undertaken by our trainers, assessors or management representatives. The outcomes of direct engagement are to be recorded on the Industry Validation Report. This form records actions to be taken by us as a result of direct engagement and acts as a point of reference for future activities and quality compliance. Identified opportunities for improvement are to be recorded using TACIS Continuous Improvement Register.**

**Industry Network. All trainers and assessors are to engage with industry networks, the bodies or industry groups in order to remain informed about industry developments including changes to industry practices and standards and the introduction of new equipment. The information gathered**

*it's all about your destination*

through engagement networks will contribute directly to the improvement of training and assessment to ensure that students who complete a training program with TACIS have the most up-to-date skills and knowledge required in the workplace. Staff participation in industry networks also contributes to demonstrating their ongoing currency in their particular industry. Staff identifying opportunities for improvement to training and assessment resulting from engagement with industry networks are to raise a Continuous Improvement Register and submit this to the management meeting.

### **Recording Industry Engagement**

It is important that a record of industry engagement be maintained in order to provide a record for retrospective review in situations such as management team meetings and quality compliance audits. The details of industry engagement such as the method of engagement, the organisation, the representative, the date, the subject of the discussion and the outcomes should be recorded within the industry engagement register within RTO Data. This capability allows the organisation to generate a report of industry engagement completed relevant to a course on the scope of registration of TACIS.

It is also important that outcomes of industry engagement that relate to the improvement of training and assessment be recorded within a Continuous Improvement Register and submit this to the management meeting for review. The continuous improvement mechanism within the Management team meeting is the primary function within TACIS to implement changes to systems (including training and assessment) within the organisation.

### ***Relevant Documents and Forms:***

***Industry engagement workshop/validation (template)***

***Industry Consultation Form (Template)***

***Employer Survey (template)***

***Staff Professional Development records***

## **Assessment Policy and Procedure (Standard 1)**

TACIS ensures that all assessments and evaluations be done in accordance with the assessment criteria of relevant training packages(s) and in line with

### *Standards for RTOs 2015*

*Clause 1.8 of Standards for RTOs 2015 specifies that:*

*The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):*

- a. complies with the assessment requirements of the relevant training package or VET accredited course; and*
- b. is conducted in accordance with the Principles of Assessment and the Rules of Evidence.*

*Clause 1.12 Standards for RTOs 2015 specifies that an RTO must develop and implement a system to ensure:*

- 1. assessment judgements are consistently made on a sound basis*
- 2. validation of assessment judgements is carried out.*
- 3. An assessment system includes not only the actual materials used directly in conducting assessment, but also policies, procedures and other supporting documents that inform the way assessment is conducted within your RTO.*
- 4. For a student to be assessed as competent, your RTO must ensure the student demonstrates their:*
  - a. ability to perform relevant tasks in a variety of workplace situations, or accurately simulated workplace situations*
  - b. understanding of what they are doing, and why, when performing tasks*
  - c. ability to integrate performance with understanding, to show they are able to adapt to different contexts and environments.*
- 5. A student must be assessed against all of the tasks identified in the elements of the unit or module*

TACIS ensures that assessment is a controlled and ordered process that is designed to ensure that assessment decisions are fair, valid, consistent, and reliable, in relation to individual student(s), different assessors and the current situation.

This policy and procedure will be:

- communicated to all trainers and assessors;
- communicated to, and understood by, students;
- readily available for staff to access;
- reviewed on a regular basis, with trainers and assessors, students and management (and possible validation and moderation partners) input.

## Training/Assessment Plan

There is a Training/Assessment Plan for each qualification registered on the scope of TACIS. The plan is developed by assessor(s) that includes competencies to be assessed, the assessment schedule, assessment processes, methods, and instructions for students.

### Assessment Procedure:

1. At the commencement of the course, Student s are advised of the general assessment tasks, criteria and requirements of each unit of competency they will need to attain for the issuance of relevant qualifications.
2. All Student s complete relevant assessments along with the training schedules and then submit the completed assessments for marking with signed statement of authenticity. Most of the assessments need to be submitted through MOODLE, our online learning platform. All Student s will be provided with a unique online MOODLE learning platform password. By signing onto the online learning platform, the Student automatically signs and acknowledges an authenticity declaration as part of submitting their assessments.
3. The RTO Manager/Program Manager/respective trainer will ensure that Student s' submitted assessments are all signed and dated with a statement of authenticity.
4. The RTO Manager/Program Manager will ensure that all assessment will be marked/evaluated within 10 working days following the date of submission, unless otherwise agreed.
5. The appointed assessor returns the marked units assessments (Competent or Not Yet Competent) with signed assessments feedback sheets to Student s and notify the Program Manager or update the result into the system within 10 working days following the date of submission, unless otherwise agreed.
6. If being deemed Not Yet Competent in an assessment, Student s will be offered the opportunity to resubmit. Student s are given another opportunity to resubmit an assessment.
7. If non competency of resubmitted assessment leads to non-issuance of the qualification, written advice must be given to the Student s within 15 working days. There is a fee attached for additional resubmissions of assessment.
8. The Student has the opportunity to dispute the assessors' decision and request for re-assessment according to TACIS's complaints and appeal policy and procedure.
9. The RTO Manager/Program Manager will ensure that all student s' assessments as required have been marked as competent before recommending certificates and/or statement of attainment and/or statement of results.
10. All records will be scanned and stored in the Student s' academic folder, which shall be securely stored.
11. All assessments submitted by Student s, assessment feedback by the appointed assessor(s), resubmitted assessments, appeals etc. will be scanned and stored in the Student s' electronic folders.



12. The CEO/RTO Manager will ensure that no qualification/certificates/transcripts will be issued until the final assessment checklist has been submitted by the Program Manager with the signature(s) of the approved assessor(s) with all assessments marked as Competent.

***Relevant Documents and Forms:***

***Training/Assessment Plan***

***Assessment tools***

***Fees & charges for reassessment or late submission of assessments***

## **Complaints and Appeals Policy and Procedure (Standard 1, Standard 6)**

### **Objective**

The objective is for TACIS to provide appropriate mechanisms to its students to compliant or appeal about various issues during their course of study. The college will act on each and every concern or appeal lodged by the student.

### **Requirements**

TACIS uses a systematic approach to dealing with complaints, concerns and appeals. All concerns, complaints and appeals are dealt with fairly, honestly, without bias in a professional and fully documented manner.

The procedure for handling complaints, concerns and appeals, is disseminated through to students prior to and at enrolment, we follow a process to look at complaints, concerns, and appeals and deal with them in a fair and equitable manner.

Once formal receipt is received by TACIS, the CEO/RTO Manager will contact the Student within 24 hours to confirm receipt of this application. The matter will be discussed by the CEO/RTO Manager and relevant staff and a written response will be provided back to the Student within 10 working days from the lodgement of Complaint or Appeal form.

*If the Student is dissatisfied with the decision of TACIS, they may access external appeals at no cost to them for this referral.*

This policy is applicable to all TACIS Students. *The availability of this complaints and appeals process, does not remove the right of the Student to take action under Australia's consumer protection laws.*

### **Policy and Procedure**

TACIS ensures that all Student s will have access to a fair and equitable process for dealing with complaints/concerns and will provide an avenue for Student s to appeal against such decisions, which affect the Student 's progress. There is no charge for the Student to access the internal complaints and appeal process.

Every effort will be made by TACIS to resolve the Student 's complaints or concern. To this end, the CEO is the person to refer formal complaints/concerns. At the time of enrolment the complaints, relevant procedure and appeals policy will be outlined to the Student s.

Where complaint/concern cannot be resolved internally, TACIS will refer the Student to an external agency (please refer below for more information regarding external agency). There will be no cost to the student for this referral.

- All prospective Student s will be provided with a copy of the Complaints and Appeals Policy and Procedure document (Student Handbook).

- All complaints, concerns, or appeals will be handled professionally and confidentially in order to achieve a satisfactory resolution.
- All parties will have a clear understanding of the steps involved in the complaints/concerns and appeals procedure.
- Current Students are provided with details of external authorities they can approach if they are not satisfied with college's decision.
- All complaints/concerns and appeals will be managed fairly and equitably and as efficiently as possible.
- All complaints/concerns and appeals and outcomes will be documented in writing.
- TACIS will attempt to resolve any complaints, concerns and appeals fairly and equitably within 10 working days from the lodgement of Complaint or Appeal form
- Any parties may be accompanied and assisted by a support person at relevant meetings.
- *If an international student chooses to access TACIS' complaints and appeals processes, that TACIS will maintain the student's enrolment whilst the complaints and appeals process is ongoing.*
- *If the internal or external complaint handling or appeal process results in a decision that supports the student, TACIS will immediately implement any decision and/or corrective and preventative action required.*
- *Where an international student has chosen not to access the complaints and appeals processes within the 20 working day period, withdraws from the process, or the process is completed and results in a decision supporting TACIS, that TACIS will notify the Secretary of DET through PRISMS of the student not achieving satisfactory course progress or not meeting attendance requirements as soon as practicable.*

## Procedure

Students have the right to raise any matters of concern relating to training delivery and assessment, the quality of the learning, course amenities, discrimination, sexual harassment and other issues that may arise during their course of study.

This policy provides an avenue for most complaints, concerns and appeals to be addressed. However in some cases alternative measures may need to be explored. It is advisable for the student to contact the CEO and/or the CEO/RTO Manager before lodging a formal complaint, to discuss other avenues available to them.

Following steps should be followed when making a complaint or appeal:

- ♣ The Student should firstly discuss the matter with their trainer/assessor. If they are still not satisfied, the Student may then, have the matter referred to the CEO/RTO Manager for consideration.
- ♣ The Student must complete the Complaint and Appeal form. Ensuring that they provide sufficient details about themselves and the course, and the circumstances surrounding the concern, complaint or appeal, who was involved, any appropriate evidence and witnesses etc.
- ♣ The CEO/RTO Manager will contact the Student within 24 hours to confirm receipt of this form and to schedule a formal face-to-face meeting with the Student. This meeting will take

place within 5 working days or earlier from the date of receipt of the complaint or appeal application.

- ♣ The Student will also be given an option to be accompanied or assisted by a support person during this or any other meetings relating to the matter(s). Meeting minutes and appropriate notes will be taken during all meetings. (Standard 8, Clause 8.1)
- ♣ The CEO/RTO Manager will discuss the circumstances with the trainer/assessor or any other staff member and make an informed decision.
- ♣ The Student will be contacted with the result within 10 working days from the lodgement of Complaint or Appeal form, the Student has further 5 working days to respond to a formal decision.
- ♣ A written statement of the appeal outcome, including reasons for the decision will also be documented and provided to the Student via email or face-to-face.
- ♣ A record of this written statement will also be filed in the Student admin folder. Furthermore, if internal appeal process results in an outcome that supports the Student, TACIS will take appropriate steps and will keep the Student informed about the course of action in this regard.
- ♣ *Where a complaint, concern, or appeal cannot be resolved through discussion and conciliation, or if the Student is dissatisfied with the college's decision, they may access external appeals at no cost to them for this referral' (refer to external agency section for more details regarding this). (Standard 8, Clauses 8.2 and 8.3).*
- ♣ *If external appeal process results in an outcome that supports the Student, TACIS will take appropriate steps and will keep the Student informed about the course of action in this regard. (Standard 8, Clause 8.4)*
- ♣ *TACIS will maintain the student's enrolment whilst the complaints and appeals process is ongoing. (Standard 8, Clause 8.4)*

If the Student has been advised that they are Not Yet Competent, but they believe that they genuinely do have the required degree of competency and that they have provided reasonable proof of this to TACIS, the Student will have to follow the right appeal process.

The process is quite simple, and is allowed by TACIS to ensure that all Students are fully satisfied with the fairness and accuracy of our assessment processes, as follows:

- The Student should firstly discuss the matter with their appointed assessor. If they are still not satisfied, the Student may then, have the matter referred to the CEO/RTO Manager and/or Program Manager for consideration.
- ♣ The Student must complete the "Complaint and Appeal form" and ensure that they provide sufficient details about themselves and the course, and the circumstances surrounding the concern, complaint or appeal, who was involved, any appropriate evidence and witnesses etc.
- ♣ The CEO/RTO Manager and/or Program Manager will contact the Student within 24 hours to confirm receipt of this form and to schedule a formal face-to-face meeting with the Student. This meeting will take place within 5 working days or earlier from the date of receipt of the complaint or appeal application.
- ♣ *The Student will also be given an option to be accompanied or assisted by a support person during this or any other meetings relating to the matter(s).*
- ♣ The CEO/RTO Manager and/or Program Manager will discuss the circumstances with the trainer/assessor or any other staff member and make an informed decision.
- ♣ The Student will be contacted with the result within 10 working days from the lodgement of Complaint or Appeal form, the Student has further 5 working days to respond to a formal decision.

- ✦ A written statement of the appeal outcome, including reasons for the decision will also be documented and provided to the Student via email or face-to-face.
- ✦ A record of this written statement will also be filed in the Student 's admin folder. Furthermore, if internal appeal process results in an outcome that supports the Student, TACIS will take appropriate steps and will keep the Student informed about the course of action in this regard.
- ✦ *Where a complaint, concern, or appeal cannot be resolved through discussion and conciliation, TACIS acknowledges the need for a Student to go for external appeal process (refer to external agency section for more details regarding this).*
- ✦ *If external appeal process results in an outcome that supports the Student, TACIS will take appropriate steps and will keep the Student informed about the course of action in this regard.*
- ✦ *TACIS will maintain the Student 's enrolment whilst the complaints and appeals process is ongoing.*

**Note:** TACIS will accept an appeal against an assessment decision for a period of no longer than 2 months after the assessment decision date.

#### External Agency (for International Students)

If a Student is not happy with the internal appeal outcome, the college will refer them to the Overseas Students Ombudsman (OSO). OSO helps international/overseas students to OSO investigates complaints about problems that overseas students or intending overseas students may have with private education and training in Australia.

The table below provides more information about Ombudsman and its variety of service:

Description	Web link
About Overseas Students Ombudsman (OSO)	<a href="http://www.oso.gov.au/about-us/">http://www.oso.gov.au/about-us/</a>
Making a complaint	<a href="http://www.oso.gov.au/making-a-complaint/">http://www.oso.gov.au/making-a-complaint/</a>
More information regarding Overseas Students	<a href="http://www.oso.gov.au/overseas-students/">http://www.oso.gov.au/overseas-students/</a>
More information regarding Private Education Providers	<a href="http://www.oso.gov.au/private-education-providers/">http://www.oso.gov.au/private-education-providers/</a>
Frequently asked questions	<a href="http://www.oso.gov.au/frequently-asked-questions/">http://www.oso.gov.au/frequently-asked-questions/</a>

Description	Web link
Ombudsman contact us email	Email: <a href="mailto:ombudsman@ombudsman.gov.au">ombudsman@ombudsman.gov.au</a>
Phone	1300 362 072* within Australia

	<b>Outside Australia call +61 2 6276 0111</b>
<b>Fax</b>	<b>02 6276 0123 within Australia</b> <b>Outside Australia +61 2 6276 0123</b>
<b>Postal</b>	<b>GPO Box 442 Canberra ACT 2601</b>
<b>Student enquiry time</b>	<b>9:00am to 5:00pm Monday to Friday, Australian Eastern Standard Time (Australian Eastern Daylight Time when daylight savings is in effect)</b>
<b>Ombudsman online complaint form</b>	<a href="https://forms.business.gov.au/aba/ombudsman/overseas-students-ombudsman-complaint-form">https://forms.business.gov.au/aba/ombudsman/overseas-students-ombudsman-complaint-form</a>

**Note:**

1. If the students want to make a complaint in their language, they can call the Translating and Interpreting Service (TIS) on 131 450 or visit the following link <http://www.oso.gov.au/publications-and-media/brochures/>
2. There will be no cost to the student for this referral.
3. TACIS will maintain student's enrolment till internal or external appeal process is ongoing. Students are strongly advised that they do come to class during this process and thereby maintain their attendance and course progress requirements.
4. The availability of this complaints and appeals process, does not remove the right of the student to take action under Australia's consumer protection laws.

**Relevant Documents and Forms:**

- **Complaints and Appeals Form**
- **Complaints and Appeals Register**
- **Complaints and Appeals Resolution/Outcome Letter Template**

## **Validation and Moderation Policy and Procedure (Standard 1)**

### **Objective**

To clearly define the process and procedure concerned with moderation and validation. To ensure that courses have been validated both internally and externally and that assessments have been moderated both internally and externally and that improvements are documented and actioned. The outcome will provide a consensus approach to moderation and/or validation.

### **Requirement**

Assessment including Recognition of Prior Learning (RPL) is systematically validated.

### **Definitions**

Validation is a process of quality review where a panel of internal and/or external professionals will formally check that the assessment tools produced valid, reliable, sufficient, current and authentic evidence that would allow judgements to be made whether the requirements of the relevant Training Package critical aspects of evidence have been met. Validation also takes into account the views of industry to ensure that the strategy meets industry requirements. Panel members normally include the RTO Manager, the Quality and Compliance Manager, the Program Manager, industry persons and trainers/assessors.

Moderation is the process of quality control. A panel of internal and/or external professionals will look at the assessment decision of assessors and check for consistency (or lack thereof) between different assessors in respect to same unit competencies. This process will highlight any inconsistencies and record the assessment methods used which should be aligned with the relevant Training Package. Panel members normally include the RTO Manager, Quality and Compliance Manager, the Program Manager, industry persons and trainers/assessors.

### **Responsibility**

The CEO/RTO Manager and the Program Manager/Head Trainer are responsible for scheduling the validation/moderation activities.

### **Schedule Plan**

Validation exercises are completed on an annual basis both with internal staff and external panel members as part of systematic review and when changes to the training package have occurred and prior to a new qualification being placed on scope. Moderation exercises are completed internally by training & assessing staff and course coordinator every three months; this is detailed in the Agenda Items for Training Meetings.

Moderation exercises are also completed with external parties on an annual basis and/or when changes to the training package have occurred or prior to a new qualification being placed on scope.

## Procedure

## Validation

1. The validation panel members must be provided with the following documents (prior to validation exercise – a week is normally sufficient to allow members time to pre-read through documentation)
  - a. Training and Assessment Strategy
  - b. Mapping document
  - c. Assessment tools for unit
  - d. Unit(s) of competency from training package
  - e. Exemplar assessments
  - f. RPL assessor kit (or relevant section)
  - g. Validation assessment form
2. The validation exercise (both internal and external) is to be scheduled by the RTO Manager. The process must be completed on an annual basis as part of systematic review or when a change to the training package has occurred or in development of a new qualification prior to being placed on scope
3. The CEO/RTO Manager and the Program Manager will inform staff of the impending validation meeting at the previous staff meeting, which will include the purpose of the meeting, what will be required and how to prepare for the meeting – this must be placed on the agenda and then inserted to the minutes
4. The external validation is to be scheduled by the RTO Manager. The process must be completed on an annual basis and when changes to the training package have occurred or prior to a new qualification being placed on scope
5. The CEO/RTO Manager contacts the external panel members and inform them of the purpose of the meeting, what will be required and how to prepare for the meeting.
6. The RTO Manager/Program Manager finalizes the Validation Plan to detail the type of validation to take place
7. The CEO/RTO Manager provides further details to training/assessing staff on the exact type of materials to be collected for the validation exercise e.g. marked candidate assessments for XYZ Unit competency, assessment tools.
8. The panel members must be provided with number of discussion items, length of discussion per item, principles to be adhered to.
9. The validation exercise will include discussing the:
  - a. Associated documents (as already provided) and purpose of validation
  - b. Assessment instruments meet principles of assessment and rules of evidence
  - c. Suggested changes to assessments to meet changes to industry and policy
  - d. Assessment methods are clear and meet workplace practice
  - e. Is the evidence of achievement sufficient to meet training package requirements.
  - f. Verification of consistency of the judgment between trainer/assessors in respect same Unit Competency assessed
  - g. Suggestions for improving assessment tools and assessment judgments
  - h. Assessment methods and tasks are clear to assessors



- i. Verifying that the marking criteria meets the learning outcomes as detailed in the training package, reviewing the exemplars for alignment with industry and training package
  - j. Assessment methods and tasks are mapped to performance criteria, skills and knowledge and learning outcomes in training package
10. A detailed assessment of the validation is to be placed in the Validation Assessment form and then the outcome placed into Feedback Summary form.
11. Agreed improvements are to be documented in the Corrective Action Record and associated Register
12. The CEO/RTO Manager and the Program Manager are to manage the improvements to ensure corrective actions are completed within defined timelines.
13. All actions are to be tabled at the management meetings and feedback provided to panel members.
14. This process must include validation of RPL process.

### Moderation

1. The internal moderation is to be scheduled by the CEO/RTO Manager or the Program Manager. The process must be completed every three months.
2. The RTO Manager/Program Manager will inform the training staff of the impending moderation meeting (at the previous staff meeting), which will include the purpose of the moderation process, what will be required and how to prepare for the meeting – this must be placed on the agenda and then inserted to the minutes
3. Regarding external moderation, this is to be scheduled by the RTO Manager. The process must be completed on an annual basis and when changes to the training package have occurred or prior to a new qualification being placed on scope. The CEO/RTO Manager contacts the external panel members and inform them of the purpose of the meeting, what will be required and how to prepare for the meeting.
4. The CEO/RTO Manager finalizes the Moderation Plan to detail the type of moderation to take place
5. The CEO/RTO Manager provides further details to training/assessing staff on the exact type of assessments to be collected for the moderation exercise e.g. judged assessments for XYZ Unit competency that were marked as competent and samples that were marked as not yet competent
6. The panel members must be provided with a number of discussion items, length of discussion per item, principles to be adhered to
7. The moderation exercise will include discussing:
  - a. Assessment methods and tasks used
  - b. Reviewing unit of competency against assessors marking guide and sample exemplars
  - c. Verification of consistency of judgement between trainer/assessors in respect same unit competency assessed.
  - d. Assessment methods and tasks are mapped to performance criteria, skills and knowledge and learning outcomes in training package
8. The panel members will then discuss findings and make recommendations for improvement
9. A detailed assessment of the moderation is to be placed in the Quality Assurance Moderation form and then the outcome placed into Feedback Summary form.
10. Agreed improvements are to be documented in the Continuous Improvement Register
11. The CEO/RTO Manager will manage the improvements to ensure corrective actions are completed within defined timelines.

**12. All actions are to be tabled at the management meetings and feedback provide to panel members.**

### **Document management**

**Records of moderation and validation with associated actions must be retained for at least two years from the time of the activity.**

### **Monitoring Actions**

**The CEO/RTO Manager will complete scheduled checks to ensure that the assessment process as detailed in the training and assessment strategies is what is actually occurring in reality. Relevant documents and forms:**

- 1. Corrective action record form**
- 2. Corrective action register**
- 3. TAS Validation Tool**
- 4. Validation of Assessment Tools and Judgements**
- 5. Validation/Moderation Plan/Schedule**

## **Credit Transfer and Recognition of Prior Learning (RPL) (Standard 1)**

TACIS has established its Course Credit Policy and Procedure to provide students with the opportunity to apply for course credit via RPL and Credit Transfer.

Recognition of Prior Learning (RPL) is an assessment process whereby an assessment is completed which determines the individual's prior learning, achieved through work experience, informal and formal training, or other life experiences to clearly identify that the applicant has achieved the level of competency required.

**The cost of RPL is \$250 per unit of competency (non-refundable).**

Credit transfer involves assessing a previously completed course or unit of competency to ascertain if it provides equivalent outcomes to those specified in the current training package. If the student has a verified statement of attainment from another RTO for the exact same unit then credit is automatic, after the qualification has been verified with the issuing organisation.

TACIS recognises evidence of completed units of competency in the form of certified copies of results (statement of attainments and AQF qualifications) issued by other Registered Training Organisations.

**There is an one-off fee of \$200 for an application of credit transfer per qualification (non-refundable) to cover the costs of verification.**

### **RPL Procedure**

TACIS appoints the RTO Manager/Program Manager to be responsible for the management of the RPL process.

Responsibilities of the RTO Manager/Program Manager in the RPL Process include:

1. Advise intending students regarding the RPL process prior to their enrolments at TACIS .
2. Assist students with the preparation of their application form and evidence required.
3. Engage RPL Assessors who will make their judgment for granting RPL on the evidence provided by the students.
4. Engage subject matter experts (if applicable) who shall be responsible for making recommendations on competencies being claimed to the RPL Assessor.
5. Inform students in writing of the outcomes of their RPL applications and their rights for appeal.

### **Step 1: Submission of RPL application**

1. All students are informed of the RPL policy and process prior to their applications for the qualifications offered at TACIS . All students will be given the opportunity to apply for Recognition of Prior Learning (RPL) for industry skills or life skills, or where credit or credit transfer may apply.
2. Students wishing to apply for RPL should speak to their Academic Manager and/or head trainer at the time of 'enrolment'. The RTO Manager/Program Manager will provide student with the relevant application form and a copy of the course outline and relevant section of training package for each competency they believe they may gain RPL.

3. RPL evidence must be submitted back to TACIS within two weeks of starting course. There will be no provision after this timeline has passed, unless extension provided by the RTO Manager/Program Manager.

#### Step 2: Processing of RPL Application

1. The RTO Manager/Program Manager ensures that RPL assessments are completed by appropriately qualified assessors who have the relevant vocational competencies at least to the level being assessed and have demonstrated current industry competencies relevant to the assessment being undertaken.
2. The appointed assessor will make his/her judgment for granting RPL on the evidence provided by the applicant in their demonstration of the appropriate skills or a practical demonstration.
3. The RTO Manager/Program Manager might engage subject matter experts (if applicable) who make recommendations on competencies being claimed to the RPL Assessor. This recommendation is to be accepted by the RPL Assessor unless they believe the correct process has not been followed.
4. The RPL application will be processed according to the criteria set out in this policy and will be granted for complete qualifications or units of competency.

#### Step 3: Notification of RPL Decisions

1. The RTO Manager/Program Manager ensures that the student(s) are informed in writing of the outcomes of their application, Letter of RPL Outcome.
2. Students will need to sign a letter of confirmation accepting the RPL or Course Credit granted, a copy of this document will be placed on students file.

#### Step 4: Appeal of RPL Decisions

1. Students who disagree with their RPL outcome or believe that the process may not have followed appropriate procedures may appeal the result of an RPL Application by submitting a complaint in writing to the RTO Manager/Program Manager.
2. If student wishes to appeal against a decision he/she must inform the RTO in writing within 1 week from receipt of Letter of RPL Outcome with new evidence (if applicable). There is no cost involved in the appeal process.
3. The appeal will be dealt with by the RPL assessor, the RTO Manager/Program Manager.
4. Letter of appeal outcome will be forwarded to applicant within two weeks of final decision.
5. The Student may appeal against the final decision via external appeal process as reflected in the complaint and appeal policy and procedure.

#### Recording of Course Credit Outcomes (for international students only)

##### Before Enrolment

- If the student applies for and is approved for RPL or course credit and this will lead to a reduction in the student's course, The CEO/RTO Manager will provide a Letter of Offer and Acceptance which will reflect the details.
- The Confirmation of Enrolment will detail the reduction in course duration and the new course duration. This will be reflected on duration of 'course length' on the visa. (This will allow DIBP to grant a visa with a duration that reflects the actual course length).

### After enrolment

- In case that a student is provided with RPL or course credit after the student visa is granted, any change in course duration will be reported via PRISMS under section 19 of the ESOS Act, this must be done within 14 days after the event took place, as specified by the Act.
- This process will be completed by the CEO/RTO Manager and once completed, the student will be advised of the outcome and amendments will be detailed on the student's file.
- The record of the course credit must be acknowledged and accepted formally by the student and a copy of the course credit granted will be provided to student.

### *Relevant documents and forms:*

*RPL/Credit Transfer Application Forms;*

*RPL Result Notification Letter Template(s);*

## **Staff Engagement Policy and Procedure (Standard 1)**

TACIS employs skilled staff and trainers/assessors in line with its scope of registration under in accordance with CLAUSES 1.13 – 1.16 of the Standards for RTOs 2015.

### **Clause 1.13**

*In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:*

- a) vocational competencies at least to the level being delivered and assessed;*
- b) current industry skills directly relevant to the training and assessment being provided; and*
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.*
- d) Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.*

### **Clause 1.16**

*The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.*

### **Staff Recruitment Procedure**

TACIS is an Equal Opportunity Employer. In accordance with this policy, TACIS subscribes to the following concepts of:

1. Equal pay for equal work;
2. Prohibition of discrimination in all areas of employment

TACIS has in place policies and procedures to ensure that advertising and marketing meets both TACIS Guidelines, as well as the national guidelines and protocols as required by the VET Quality Framework. This procedure applies to recruiting and selecting applicants for continuing, fixed-term and casual appointments at TACIS.

1. Formal Interview
2. Appointment of Trainers & Staff Induction
3. Introduction to Staff Professional Development

### **Formal Interview**

1. Candidates applying for the position as trainer and assessor should be notified via email of the time and date of a Formal Interview.
2. At least two interviewers should attend the interview.

Candidates attending the formal interview are required to take with them the following documents:

1. A detailed copy of their resume;
2. Copy of their ID: passport and visa page and driver license;

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3. Copies of their previous qualifications including certificates and transcripts;
4. Copies of evidence of current vocational competencies at least to the level being delivered and assessed;
5. Copies of evidence of current industry skills directly relevant to the training and assessment being provided

### **Appointment of Trainers/Assessor & Staff Induction**

If the candidate has been successful in the interview, they will be appointed as trainers and/or assessors for the qualifications to be delivered and assessed.

A Letter of Offer will be sent to the successful candidate detailing employment terms and conditions, duties and responsibilities. The Letter of Offer must be signed by the new employee and the responsible person of TACIS.

Staff Induction will be organised for the staff including the following information:

1. Completion of Staff Information Form to be completed. (A completed copy of Staff Information Form must be provided to The CEO/RTO Manager for payment processing purpose.)
2. RTO Operations Manual to be provided to the new employee with the relevant acknowledgement forms to be signed.

### **Staff Professional Development**

TACIS actively encourages and promotes professional development (PD) of staff that is aligned with its business strategies. It is recognised that the opportunity for all staff to develop their knowledge and skills will support the professional careers of staff and the business goals of TACIS.

The responsibility for professional development is shared between the individual trainer and TACIS. You are expected to take a proactive role to identify and meet your professional development needs.

During Induction you will receive a number of documents to be signed and returned prior to commencing employment. One of these will be a summary of current PD and planned PD over the next 12 months. This form should be returned with other forms and a copy will be retained in staff records and another copy sent to the RTO Manager.

In some cases, TACIS may assist in the costs of professional development (refer to PD application form).

Professional Development (PD) includes:

- Academic qualifications
- Awareness and relevant knowledge of Education Services for Overseas Students Act 2000, Standards for Registered Training Organisations (RTOs) 2015), which are all the standards requirements that an RTO and all its employees are bound.
- Awareness of various legislation (e.g. Anti-Discrimination)
- Relevant professional memberships
- Self-training (e.g. on-line journal subscription, online blogs, Microsoft tutorials),

- In house training (e.g. round-table seminars), external workshops (e.g. Customising Validation and Moderation, Understanding Standards for RTOs 2015.)
- Attendance at relevant conferences
- Online (including free courses at [www.openculture.com](http://www.openculture.com)), distant, remote or face to face courses

Refer to Staff Induction for more details on planning PD, updating your CV and trainer matrix at least every 12 months to include PD, notifying either The CEO/RTO Manager or accounts/HR of updates to be added to your staff file.

As part of the Staff Performance evaluation procedures, trainers are required to complete a 'Trainer Self-assessment' form every 3 months.

One section of this form relates to professional development and provided an opportunity for trainers to document what they think their professional developments needs are and what can be done to address them. You are also encouraged to provide written submissions where they have identified a course, conference or some other professional development activity that you would like to attend.

This should include details of:

- ♣ The study proposed to be undertaken.
- ♣ The relevance of the study to your current and proposed future employment within TACIS .
- ♣ The likely benefits to you and TACIS from the undertaking of the study;

The CEO and The CEO/RTO Manager will also investigate and consider what professional development activities may be suitable for staff members. TACIS will consider providing assistance to staff members doing professional development activities. Each individual situation will be considered on its merits. The assistance provided by TACIS may be in the form of:

- ♣ Payment or part-payment of a fee for a course;
- ♣ Time off work to attend classes, examinations or to study before an examination.

*Relevant documents and forms:*

- *Trainer Self-Assessment form*
- *PD Application form*
- *PD Log*
- *Staff Handbook*



## **Learning Needs Analysis Policy and Procedure (Standard 1)**

To maximise the chance of Student s successfully completing their training, TACIS is committed to:

- identifying any support individual Student s need prior to their enrolment or commencement (whichever is the earliest), and
- providing access to that support throughout their training including:
  - Language, Literacy and Numeracy (LLN) support
  - assistive technology
  - additional tutorials, and/or
  - other mechanisms, such as assistance in using technology for online delivery components.

Before being admitted at TACIS, each Student 's particular learning needs will be assessed on a case-by-case basis via interviews and entry examinations, within the policy parameters of TACIS.

TACIS tasks the administration with developing and articulating a rationale for matching Student needs with appropriate services from a trainer, an assessor, the training materials, and/or counsellor to assist Student s to be successful in the standards of the academic program offered at TACIS. The learning needs analysis will be held monthly, reviews will be held at TACIS to assess and review the Student progress and results. The Program Manager will periodically review the effectiveness of the programs and supports for Student s with learning needs and provide recommendations for improvements as needed.

It should be noted that Learning support services are not intended to provide an alternative course of study, rather they are intended to help a student be successful within the Vocational Education and Training sector.

**Conduct initial training needs assessments of Student s**

**A Learning Needs Analysis (LNA) is used to assess Student s' training needs. This is an assessment of the gap between the knowledge and skills that the students currently possess the knowledge and skills that they require to meet the course outcome.**

**Student s' learning needs assessment is conducted up front, before training solutions are designed and delivered. The output of the Learning Needs Analysis will be a document that specifies What, Who, and How. More specifically, the document will need to answer these questions:**

- λ ***Why do students take part in the training?***
- λ ***What knowledge and skills do they currently have?***
- λ ***What knowledge and skills do they need to acquire to meet the course outcome?***

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λ ***How do they want the training to be conducted, what resources and facilities do they need?***

Based on the data from the training needs assessments, TACIS will adopt relevant policies and procedures to ensure that the training needs of students are addressed accordingly in accordance of the requirements of the accredited course.

**Develop a comprehensive Training Service**

In accordance with the requirements of the accredited courses, TACIS will prepare its training materials to meet the needs of the students;

**Conduct periodic formal consultation & training performance assessment process;**

There will be a formal consultation process between students and trainers/assessors in which students' feedback on the training materials will be sought every four weeks to ensure that training materials will be updated to accommodate the needs of the student;

There will a monthly consultation process among trainers/assessors to ensure that uniform training and assessment methods be applied;

**Develop appropriate, unified & flexible delivery methods;**

Evaluation of delivery will be collected and assessed from Student s at the end of each training session, the data collected from each training session from to be collected and analysed.

Trainers will deliver training in appropriate methods to ensure that Student s will be able to learn from the desired training materials to their expected outcomes;

TACIS will provide training counselling services between the trainer and Student s to determine appropriate techniques and methods to address the essential training needs of individual Student s;

**Provide training, development and career counselling to all trainers/assessors;**

Training opportunities and Career counselling and development services will be provided to trainers and assessors when learning and training needs are identified from data analysis of periodic Student s' feedback and consultation processes among trainers and assessors;

**Improve all physical facilities designated for training purposes:**

TACIS will ensure that it provides sufficient training rooms, training facilities such as library of books, computers to ensure that training outcome can be achieved in a comprehensive manner.

***Relevant documents and forms:***

- ***Learning needs analysis form prior to enrolment;***
- ***LLN test (template)***
- ***Student's feedback form;***

- *Continuing Improvement Register*

## **Training Package Transition Arrangements (Standard 1)**

### **Objective**

This policy describes the transition process by which TACIS follows from superseded training package qualification and/or accredited course to new or revised training package qualification and/or accredited course in compliance with the Standards for Registered Training Organisations 2015.

This policy ensures that TACIS only delivers currently endorsed Training Packages or current VET accredited courses.

### **Requirement**

TACIS will manage the transition from superseded training package qualification within 12 months of their publication on the National Register - [www.training.gov.au](http://www.training.gov.au) website. TACIS will manage the transition from superseded accredited course within 12 months of their publication on the National Register.

### **Definitions**

**Training Package** is a set of nationally endorsed standards and qualifications used to recognise and assess the skills and knowledge people need to perform effectively in the workplace.

**Accredited Course** is developed to meet training needs that are not addressed by existing Training Packages. A course will not be accredited if it duplicates existing endorsed training package qualifications, or if the outcome can be achieved through the contextualisation of a training package qualification.

**Superseded Date** is the date that the new training package or accredited course is published on the [training.gov.au](http://training.gov.au) website.

**Transition Period** must be completed within 12 months of the date the new training package or accredited course is released on the [training.gov.au](http://training.gov.au) website.

### **Policy Statement**

The CEO/RTO Manager and/or Program Manager reviews currency of training package qualification and accredited course that are on scope on a quarterly (or earlier) basis and also at management review meetings. If a transition is required, The CEO/RTO Manager and/or the Program Manager will manage the process. This ensures that TACIS is operating from the current version and/or is managing the transitioning from superseded training package qualification and/or accredited course.

TACIS must commence enrolments in the replacement qualification as soon as practicable but no later than 12 months from the date of publication of the replacement qualification on the national register.

TACIS must transfer continuing students of the superseded qualification into the replacement qualification as soon as practicable but no later than 12 months from the date of publication of the replacement qualification on the national register, unless they will be genuinely disadvantaged if required to do so.

During the transition period, TACIS may continue to enroll and/or commence delivery and assessment in the superseded qualification (if on scope) and must transition students to the new qualification as soon as practicable, but no later than 12 months from the date of publication of the

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new qualification on the national register.

TACIS must transfer continuing students of a superseded accredited course into the replacement Training Package qualification or accredited course as soon as practicable but no later than 12 months from the date of publication of the replacement Training Package qualification or accredited course on the national register, unless they will be genuinely disadvantaged if required to do so.

TACIS must commence enrolments in the replacement qualification or accredited course as soon as practicable but no later than 12 months from the date of publication of the replacement Training Package qualification or accredited course on the national register. *(refer to ASQA website)<sup>1</sup>*

### Transition and Options

There are two choices to take when transitioning students. The CEO/RTO Manager should discuss with senior management whether to 'Credit Transfer' or 'teach out' the students. Students should not be disadvantaged in any way.

The 'teach out' process will require that students complete the course within one (1) year from expiry of previous training package or accredited course.

Whereas the 'Credit Transfer' will require continuing students to enroll in the new qualification and have previously completed units mapped to the new qualification. With regard to continuing students, a renewed enrolment agreement must be completed. If TACIS is receiving funding, the provider of funding must be consulted.

### Procedure

The CEO/RTO Manager and the Program Manager must:

- Review out-dated Training and Assessment Strategy (TAS) and develop new TAS in consultation with industry (validation process);
- Develop a transition plan/schedule to clearly detail the timelines for transition and ensure all affected students are smoothly transitioned to new course;
- Discuss transition strategy with staff: Marketing Manager, Trainers and other relevant senior managers
- Review needs for professional development activities regarding changes;
- Update employers and funding providers and other stakeholders about the changes and possible effects and advising the expiry date regarding teach-out period;
- Prepare formal notifications to students, staff and employers;
- Document changes in Corrective Action Register, Qualification on Scope Register and Version Control Register;
- Review and update all resources relevant to course including staffing, equipment, facilities, course materials - assessment tools, study outlines, program guides and training plans, mapping tools etc. Detail in the Corrective Action Record the documents to be changed and include action dates and assigned responsibilities;
- Complete and submit documentation to have replacement qualification or accredited courses added to scope within 12 months of the superseded date;
- Ensure that students are allowed to complete the course they originally enrolled;
- Once qualification or accredited course is approved and placed on scope, enrolments may begin;
- Students will also have the opportunity to transfer to the replacement qualification or accredited

course if they so request;

Ensure that students are not disadvantaged by transferring to new qualification or course;

Complete teach out of expired qualification or course.

**Responsible parties**

The CEO/RTO Manager is responsible for the control and issuance of this policy.

The CEO/RTO Manager is responsible for the implementation of this policy and associated procedures.

***Relevant documents and forms:***

***Corrective Action Record***

***Management Review Report***

***Corrective Action Register***

***Version Control Register***

## **Quality Management Policy and Procedure (Standard 2)**

### **Definitions:**

**Quality Assurance (QA)** is a way of preventing mistakes or defects in VET education and avoiding inadvertent mistakes when delivering education and training services. QA is applied in the VET sector to verify specific actions and requirements. It refers to administrative and procedural activities implemented in a quality system so that requirements and goals for a training and delivery, service or activity will be fulfilled. It is the systematic measurement and comparison with a regulatory standard, monitoring of processes and an associated feedback loop that confers error prevention.

**SWOT:** SWOT is an acronym for strengths, weaknesses, opportunities, and threats. It is a structured planning method used to evaluate the strengths, weaknesses, opportunities and threats involved in a project or in a business venture. A SWOT analysis can be carried out for a product, place, industry or person.

**Risks:** the effect of uncertainty on objectives.

### **Policy Statement**

- TACIS pursues its operation consistent with the compliance requirements as prescribed in the Standards for RTOs 2015, the ESOS Framework (the ESOS Act, and the National Code 2007);
- TACIS fulfills its responsibility of data reporting requirements as required by different regulatory instructions such as AQF and NCVET data reporting.
- TACIS systematically identifies, assesses, and acts on risks by developing a comprehensive Risk Assessment Framework. All staff will be oriented and provided training for risk assessment, handling and management. It will implement and nurture the culture of early risk identification approach.
- TACIS will implement continuous improvement procedures to enhance quality management across its operations;
- TACIS will conduct strategic compliance planning and review. This includes quarterly compliance review and monitoring of organisational the activities including those of external service providers such as education agents.
- TACIS will routinely monitor academic performance, marketing strategy and overall operation of Third Party Partners.

## Quality Management Framework

The quality management encompasses two broad areas such as maintaining organisational and regulatory compliance requirements. Organisational requirement framework links strategic direction setting, planning and quality. It aligns with the budgeting and risk management systems. The rationale of developing the TACIS quality management framework is to:

- ensure that the needs and expectations of students and other stakeholders are met;
- identify that we meet or exceed minimum requirements all areas (regulatory, academic and administrative);
- achieve our expectation to excellence in all that we do;
- support our commitment to continuous improvement.

The TACIS quality management framework:

- is guided by the regulatory and compliance requirements of the Standards for RTOs 2015, NVR Act 2011, VET Quality Framework, the ESOS Framework (the ESOS Act, and the National Code 2007), and the ELICOS standards
- reflects the two-way nature of effective quality management from the CEO and to individual staff members and from individual staff members to the CEO;
- is underpinned by TACIS -wide governance and policies and procedures framework.

TACIS's Quality Assurance Policy is further supported by performance management and professional development programs and emphasises the two essential and fundamentally intertwined dimensions of planning for quality and improving quality.

### Planning for Improving Quality

TACIS's approach to quality management embodies continuous improvement, in a cycle of planning, implementation, review and improvement. TACIS actively plans for quality as well as seeking opportunities to improve the quality of services delivered.

As an RTO, TACIS will at all times cooperate with its registering body ASQA on the following but not limited to:

- provide requested information to ASQA (Clauses 8.1-8.2)
- notify ASQA regarding third party agreements (Clause 8.3)
- make an annual declaration on compliance with the Standards (Clause 8.4), and
- comply with all relevant legislative and regulatory requirements (Clauses 8.5 – 8.6)

### *Related Documents and Forms;*

#### **1. CEO Annual Declaration;**

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2. **Annual Data Provision Procedure;**
3. **ASQA Audit records;**
4. **Records of Notification of third-party agreements to ASQA;**

## **Qualification Issuance Policy and Procedure (Standard 3)**

This policy describes the process by which TACIS will record and issue Certificates and Statements of Attainment to Students who have met the requirements for a qualification that is listed on TACIS' scope of registration.

This policy applies to TACIS and its students addressing the course requirements for the awarding of a Certificate or a Statement of Attainment. The policy does not apply to non-AQF qualifications.

### **Responsible parties**

The CEO is responsible to issue these documents.

The Program Manager is responsible for recommending the list of students to be issued with appropriate certificates depending on students' academic progress.

The CEO is responsible for issuing of Certificates and Statements of Attainment, including replacement certification documents and preserving the Student Management System (SMS) in current, compliant and operational status within 30 days from completion of the last assessment.

The TACIS Students Management database maintains all data, including all relevant student details and a register of Certificate and Statements of Attainment issued. The SMS has the ability to generate and provide AVETMISS data if and when required.

### **Policy & Procedure**

Before a Certificate is awarded, the CEO and Program Manager must ensure that all units of competency for the qualification have been completed and assessed as competent.

The Students will be advised within 2 weeks of completion of competency as to their results.

All Students who have successfully completed all units in a course will receive a Certificate and Statement of Attainment, listing all units completed successfully as part of the qualification.

All Students who have not completed all units in a course will receive a Statement of Attainment listing only the units that have been completed successfully.

If a student has any outstanding fees, the student will be notified by Student Support Services. The student must pay any outstanding fees before a Certificate or a Statement of Attainment is issued (this information is provided to students at induction/orientation, to avoid any misunderstanding).

Prior to issuing the certificate/statement of attainment to any student, Student Support Services will ensure that the student has paid all outstanding fees, and that the student has provided TACIS with a Unique Student Identification (USI) number before the Certificate and/or the Statement of Attainment is being issued. The Unique Student Identification number **MUST** be verified prior to the qualification being issued. This will be completed by Student Support Services via "aXcelerate".

### **Certificates**

The Certificates for all AQF qualifications issued will identify the qualification as an AQF qualification either by the words 'The qualification is recognised within the Australian Qualifications Framework' or the use of any AQF logo.

TACIS maintains a register of all AQF qualifications they are authorised to issue.

TACIS maintains a register of all AQF qualifications they issue to graduates.

TACIS ensures that it does not include a state or territory registering body logo on Certificates or Statement of Attainments.

Each and every Certificate issued has a unique Certificate Number.

### **Statements of Attainment**

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TACIS ensures that it does not include a state or territory registering body logo on Certificates or Statement of Attainments.

TACIS uses the NRT logo in accordance with current conditions of use and maintains a copy of NRT logo specifications on file.

TACIS has developed the Statement of Attainment in a format so that it cannot be mistaken for a full AQF qualification and it includes the words 'Statement of Attainment' at the top of the document.

Each and every statement issued has a unique Statement of Attainment number.

This policy document is made available to students as part of the Student Handbook.

## Coding of Results

Results will be recorded as follows:

C	Competent
NYC	Not Yet Competent
CT	Credit Transfer
RPL	Recognition of Prior Learning

## Mechanisms to Reduce Fraudulent Reproduction

The following elements have been added to reduce chances of fraudulent reproduction:

- All Certificates have a certificate number which is unique to the student who completed the course.
- All Statements of Attainment have a statement of attainment number which is unique to the student who completed the course.
- TACIS has an embossing machine with a die which includes as a text display TACIS' Name and National Code.
- The embosser is used to press a seal onto the Certificate and the Statement of Attainment.
- The seal not only adheres but also indents the shape of the die into the Certificate and Statement of Attainments - which cannot be removed without destroying the document.
- The embosser is locked in TACIS' CEO's office inside a safe; the only staff member with access to the safe is the CEO.
- TACIS' database has built in templates for Certificates and Statements of Attainment.
- To ensure templates remain compliant and current, the templates are password protected to ensure only approved staff members have the access to make changes or additions. This also ensures certification documentation is used consistently across the education and training sectors.
- Student's record files both academic and administrative are locked in a filing cabinet inside the Academic Manager's office and then relocated to the secure archive room once students have completed the course or part thereof.
- Hard copies of Certificates and/or Statement of Attainment registers are stored and kept in the CEO's office.
- Electronic copies of student data are maintained in TACIS' Student Management System (SMS – aXcelerate)) and also secured off site at the CEO's personal residence.

## National Recognition

TACIS recognises Qualifications and Statements of Attainment issued by other Registered Training Organisations throughout Australia. The policy on National Recognition clearly states the recognition and application process.

Recognition is granted by direct recognition of the competency unit completed at another Registered

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Training Organization (RTO). The applicant must provide original Certificates for verification prior to acceptance of recognition. TACIS will record this as a credit transfer against the relevant unit(s) after positive verification of the qualification with the issuing RTO.

### Re-issuing Qualifications

If the Certificate or Statement of Attainment is misplaced or damaged, the student or prior student may contact TACIS to order a replacement. TACIS will not re-issue a Certificate or Statement of Attainment; however, will issue a 'Certified Copy' of the original certification documentation with a statement on the documentation stating: 'this is a replacement of the original document.'

Students or prior students making requests for replacement certification must provide proof of identity including the student identification number in addition to a current Australian driver's license or a current passport. The Program Manager will then complete a verification check to ensure the person requesting documentation is the person previously enrolled in the stated course. The cost for a certified copy of the original award documentation is \$60.00, which is to be paid at the time of application for replacement documentation. It may take up to two weeks for the copy award document to be completed from the date of the application.

### Issuance Procedure

1. The Trainer/Assessor provides copies of the student assessments documents including the completed students' assessments, the completed assessment task cover sheet with comments, the unit assessment outcome sheet, etc. to the Program Manager at end of the unit of competency. The Trainer/Assessor is responsible to make sure that all assessments are marked in a compliant manner per relevant standards and/or TACIS guidelines.
2. Marked assessments and results (including feedback) are to be provided to the Program Manager within two weeks of students completing assessments for a particular unit of competency.
3. The Program Manager **MUST** complete a quality and compliance check of all the completed/marked assessments and approve evidence as compliant and ready for data entry in TACIS Student Management System "aXcelerate".
  - a. Evidence that is non-compliant will be handed back to the trainer and assessor with comments and details as to why evidence is not compliant – the trainer/assessor will be given one week to re-submit and fix all non-compliant evidence.
4. The Program Manager must ensure that all Units of Competencies required for the specific qualification have been assessed as competent before issuing the relevant qualification(s) by completing a Qualification Issue Recommendation Form.
  - a. The Academic Management will only be able to recommend for the issue of Statement of Attainment if the student or student has only completed certain units of competencies.
5. Qualification Issue Recommendation Form are then provided to Student Support Services. Student Support Services will check and confirm that the student has paid all outstanding fees and that the student has provided a valid Unique Student Identification (USI) number. The USI will be verified by Student Support Services via "aXcelerate" prior to the certificate being issued. Once all these are checked and confirmed, Student Support Services generates Certificates and or Statements of Attainment via the TACIS Student Management System

“aXcelerate”.

6. Student Support Services provides printed Certificates and or Statement of Attainments to the Program Manager for verification and final check. The Program Manager **MUST** that the Certificates and or Statements of Attainment have correctly identified the student, qualification, unit of competency, date of completion, Certificate/Statement of Attainment (SOA) number, issue date and will perform all other checks (including valid USI) before the Certificate or Statement of Attainment is made available for the student to pick-up.
7. Once the above procedures have been completed, the Program Manager will provide formal notification to TACIS' CEO stating that compliance checks have been completed and that the award documents are cleared for final processing which includes signing and embossing by the CEO, the formal notification will include relevant student details.
8. The CEO completes a final check of student records and also cross checks that the Certificate is clearly for the AQF qualification that is on scope. If all data is compliant, the CEO will place the RTO seal onto the Certificate and /or the Statement of Attainment via embossing machine and then sign and date the document. This is to be considered as the date of issue of award or the conferral date.
9. A final close-out check of the student's admin and academic files is completed by the RTO Manager/Program Manager; a copy of the award documents is placed into the students file and then moved into the secure archive room.
10. Student Support Services arranges with the student to pick up the award documents or else mails via registered mail to the student. If the award documents are issued by mail, the envelope is to display the wording: “PLEASE DO NOT BEND” and a cardboard 300gsm is also placed in the envelope.
11. The Certificate or Statement of Attainment details are recorded in the Certificate Register or Statements of Attainment Register for reporting and audit purposes.
12. Student Support Services completes the register updates with the CEO, cross checking and initialling register.
13. The CEO might recall or cancel a Certificate or Statement of Attainment (SOA) if one of the following has occurred:
  - a. The student has provided incorrect or misleading information in the process of obtaining the certificate;
  - b. The student should have been marked as incompetent based on the evidence provided. Student will be provided the chance to rectify the issues identified via the Complaint and Appeal Policy or Procedure.
  - c. Any other circumstances where the Certificate or Statement of Attainment (SOA) should not have been issued under the relevant Standards of RTOs 2015.

When issuing certification, TACIS will:

1. issue in a timely manner (AQF certification documentation must be issued within 30 calendar days of the student's final assessment being completed or their exiting their course,

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providing all fees have been paid), so our students can provide proof of their competence to employers (or potential employers) and obtain any industry license or accreditations.

2. issue AQF certification documentation directly to the student, not to another party, such as an employer.
3. issue students who have completed all units or modules in a qualification with a testamur and a record of results.
4. issue a student who has completed one or more units/modules (but not a full qualification) and has finished their training with TACIS, with a statement of attainment (a record of results may also be issued in this case), and
5. ensure students can access records of certification issued to them.

**Standards for Registered Training Organisations (RTOs) 2015 – Clauses 3.1 – 3.4**

<b>Clause 3.1</b>	<i>The RTO issues AQF certification documentation only to a student whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.</i>
<b>Clause 3.2</b>	<i>All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.</i>
<b>Clause 3.3</b>	<i>AQF certification documentation is issued to a student within 30 calendar days of the student being assessed as meeting the requirements of the training product if the training program in which the student is enrolled is complete, and providing all agreed fees the student owes to the RTO have been paid.</i>
<b>Clause 3.4</b>	<i>Records of student AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past student s.</i>

***RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.***

***Issuing AQF Qualifications***

***RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:***

- 1. the name, National RTO code and logo of the issuing organisation***
- 2. the code and title of the awarded AQF qualification, and***

- 3. the NRT Logo in accordance with the current conditions of use contained in Schedule 4.**

**The following elements are to be included on the testamur as applicable:**

- 4. the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts)**
- 5. the industry descriptor, e.g. Engineering**
- 6. the occupational or functional stream, in brackets, e.g. (Fabrication)**
- 7. where relevant, the words, 'achieved through Australian Apprenticeship arrangements', and**
- 8. where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.**

**RTOs must not include the student's Student Identifier on the testamur consistent with the Student Identifiers Act 2014. RTOs will:**

- 9. retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued**
- 10. retain records of AQF certification documentation issued for a period of 30 years, and**
- 11. provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.**

**Issuing Statements of Attainment**

- 1. RTOs must include the following information on a statement of attainment:**
  - o the name, National RTO Code and logo of the issuing organisation**
  - o a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency**
  - o the authorised signatory**
  - o the NRT Logo**
  - o the issuing organisation's seal, corporate identifier or unique watermark**
  - o the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'**

2. **The following elements are to be included on the statement of attainment as applicable:**
  - **the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities)**
  - **the words ‘These competencies form part of [code and title of qualification(s)/course(s)]’**
  - **the words, ‘These competencies were attained in completion of [code] course in [full title]’, and**
  - **where relevant, the words, ‘these units / modules have been delivered and assessed in <insert language>’ followed by a listing of the relevant units/modules.**
3. **RTOs must not include the student ’s Student Identifier on the statement of attainment consistent with the Student Identifier Act 2014.**
4. **RTOs will:**
  - **maintain registers of all statements of attainments issued**
  - **retain records of statements of attainment issued for a period of 30 years, and**
  - **provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.**

**Relevant documents or forms:**

**Sample of Qualification Certificate Template**  
**Sample of Statement of Attainment**  
**Certificate Issuance Register**  
**Statement of Attainment issuance register**  
**Checklist for issuing a qualification**



## **Records Management Policy and Procedure (Standard 3)**

### **Objective**

This policy describes the systematic process by which TACIS will collect, maintain and manage adequate records in accordance with the requirements of the VET Quality Framework for Standards for Registered Training Organisations (RTOs) 2015.

### **Scope**

This policy applies to all records in relation to the operation of TACIS and the process by which records are collected, maintained and management by staff employed by or contracted to TACIS . In collecting personal information, TACIS will comply with the requirements of Schedule 1A of the Higher Education Support Act 2003, the Vet Provider Guidelines and the Information Privacy Principles set out in the Privacy Act 1988 (Cth).

All collected information is private, confidential and access is restricted to authorised personnel only.

### **Definitions:**

The term “the RTO” and “TACIS ” in the document refer to “CHC Services Pty Ltd”.

LMS – Student Management System

NCVER – National Centre for Vocational Education Research

ASQA – Australian Skills Quality Authority

### **Policy Statement**

Data will be collected, collated, maintained, analysed and managed in accordance with the VET Quality Framework for Standards for Registered Training Organisations (RTOs) 2015.

TACIS will retain student records of attainment of units of competency and qualifications for a period of no less than 30 years.

Other records unless advised will be maintained as per statutory requirements, for example Section 286(2) of the Corporations Act requires *financial records* to be kept for seven years.

Student Enrolment forms and Change of Personal Details forms will be retained for 2 years from completion of course.

TACIS will retain master copies of training resources and assessment instruments for 1 year from the last day of operational use.

Students completed assessment items will be securely retained and be produced in full at audit if requested to do so, all completed student assessment items for a student for:

the duration of the RTOs assessment appeal period or

a period of six months from the date on which the judgement of competence for the student was made or

the duration of the students enrolment whichever is the longer period.

[http://www.asqa.gov.au/verve/resources/GENERAL\\_DIRECTION\\_Retention\\_requirements\\_for\\_completed\\_student\\_assessment\\_items.pdf](http://www.asqa.gov.au/verve/resources/GENERAL_DIRECTION_Retention_requirements_for_completed_student_assessment_items.pdf) viewed 14/09/2016)

Disposal of data after retention period will be via shredding data and placing into the secure data disposal bin, this will be completed by a minimum of two senior managers including, the CEO (CEO may delegate to another senior manager) and documented in the Disposal Register.

TACIS will ensure that, except as required under the Standards for Registered Training Organisations (RTOs) 2015 or by law, information about a client is not disclosed to a third party without the written consent of the client. TACIS will provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

Under the National Privacy Principles the student or staff member can access his/her personal information and may correct inaccurate or outdated information about them.

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The version control policy describes the numbering system necessary to systematically track and control changes that will occur with documentation and subsequent revisions

The CEO or his representative will routinely check student records for accuracy and currency

A register of trainers and assessors is maintained

The safeguarding of client confidentiality will be maintained

Records will be maintained of enrolments, participation, fees paid and refunds given

All policies and procedures are reviewed on a yearly basis

Note: There may be additional records management/retention requirements stipulated by State or Territory Governments or licensing authorities, the CEO is responsible for checking the relevant requirements and updating policies and staff in this regard.

**Storage and Backup**

Electronic backups are completed on all files. This occurs in four categories.

**Student Management System (LMS) (student records)**

Marketing

Administration

Trainers Invoicing /Employee Information

Safeguarding Records

The confidentiality of records will be maintained by:

Electronic: password username entry to system with different access levels (relevant to role of person seeking access)

Passwords are pre-set to force a change every month

Backup records are locked in fire proof safe at CEO's residence

Hard copy: secured in locked metal storage cabinet and within locked managers office

Induction and professional development for all staff involved with records management.

**Trainer and Assessors Records**

All staff and persons working on behalf of TACIS as trainers and assessors will have their records securely maintained by the RTO for seven years from last day of employment with TACIS .

Financial	Marketing	Business Planning & Direction
Corrective Actions	Partnerships Agreements	Trainer Qualifications
Training & Assessment Strategies	Consultation with Industry	Professional Development
Occupational Health & Safety	Complaints and Appeals	Position Descriptions
Risk Management Audit	Transitions	Performance Development
Continuous Improvement	Notifications to NVR	Trainer Supervision
Version Control	Assets and Equipment	Trainers Register
Backups	Training Resources	Management Review Report
Contracts	Employee CVs	Audit Report
Software Details	Trainer Matrix	Tax Installment Declaration
Employment Agreement	Contractor Agreement	Incident Report
Student Details	Student Fees and Refunds	Statistical Data
Qualifications	Statement of Attainment	Assessment Details
Employer Survey	Student Survey	Completion Rates
Observation Checklist	Class Timetable	Assessment Cover Sheets
Assessor Notes	Validation/Moderation	Enrolment Documentation

**Qualifications and experience will be verified by the RTO Manager; evidence will be documented and maintained in the Trainers Register, Trainers Skills Matrix and Staff file.**

#### **Types of Records**

**TACIS maintains records of all activities related to the operation of the business. These include, but are not limited to:**

#### **Student Records Storage**

**TACIS will retain student records of attainment of units of competency and qualifications for a period of no less than 30 years in electronic format.**

**Electronic backups are completed on a daily basis in regard to all categories above.**

**In respect to student's records, TACIS secures all client records of attainment of units of competency and qualifications in the Student Manager System. Two backup mechanisms are utilised, one via tape backup removed off site every week and another via our Student Management System which has a backup stored on our system and at the LMS vendors site.**

**Hard copies of records of attainment of units of competency and qualifications and maintained in two registers:**

- 1. Certificate Register;**
- 2. Statement of Attainment Register (on site for a period of 2 years, then disposed of via secure method).**

**Hard copy data is securely stored in the client records storage file in the CEO's office.**

#### **Record Keeping**

**TACIS uses a Student Management System (LMS) which maintains all records of student details including enrolments, training and assessment, progress, it also generates compliance to the VET Quality Framework and has the capacity to provide the NCVET with AVETMISS compliant data and is used to generate Certificates/Diplomas & Statements of Attainment.**

**The software supplier is not able to withhold student records under any circumstances; we inserted the above statement as a clause into the vendor agreement.**

**A copy of testamurs, statements of attainment and academic transcripts will be kept in the student's academic file, scanned copies kept in electronic format in the LMS and backed up to USB Hard drive.**

#### **Records provided to ASQA**

**TACIS will provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by ASQA.**

**TACIS will provide the NCVET upon request with AVETMISS compliant data including information about students, their courses, units of activity and qualifications completed.**

#### **Withdrawal of Registration**

**Should TACIS withdraw its registration, it will return its Certificate of Registration to ASQA within 10 working days of the date the withdrawal takes effect.**

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All client records of attainment will be forwarded to ASQA with 10 working days of the date the withdrawal registration. This will include: students full name, student ID number (generated by our LMS), students date of birth, students Unique Student Identifier (USI), title and national code of qualification/s, or course/s and unit/s completed, and completion date/s.

**Student Records Process**

The Students Service Officer is responsible for maintaining up to date records of enrolment, data entry of results and student s access to their records via approval from the CEO. Changes of student personal details will be documented firstly on the Student Change of Details form and filed in the student administration file with the appropriate documentation that supports changes – the student terms and conditions of enrolment allows 10 days for student to advise the RTO of the change taking effect.

Changes will then be updated in the LMS by the Students Service officer.

- The CEO is responsible for overall management and review of the LMS.
- The CEO is responsible for the resulting and issuing of testamurs and statements of attainment and maintaining currency of data in the LMS and also in hard format.
- The CEO will facilitate ongoing Professional Development to staff regarding use of the LMS and other records management processes relevant to their roles.
- New staff will receive Professional Development (PD) in and other records management processes during induction (1<sup>st</sup> week).
- Ongoing PD is scheduled to take place at quarterly intervals and is facilitated by the CEO or his representative.
- The CEO is responsible for data maintenance and backup.
- The CEO is responsible for secure storage of tapes (as per backup procedure) and checking restore functionality of data backup system

A final closeout check of the student's admin and academic files is completed by the CEO or his representative; a copy of the award documents is placed into the students file and then placed into archive box and categorised by end course date with student ID and then moved into the secure archive room.

Record and retrieval from archive is managed by the CEO with a second witness being the RTO Manager and/or Program Manager.

#### **Disposal of Documents**

Due to space constraints, it is not viable or an efficient use of the RTOs facilities to store all data. As such, the following process applies:

TACIS maintains all units of competency training and assessment information for a minimum period of 6 months from completion of the unit; this includes master copies of student assessments and training resources.

The CEO is responsible for managing the retention of records and will also complete the disposal of records at end of 6 months post completion of course. Documentation which is to be disposed of will be entered into the document disposal register and verified final authorisation by The CEO/RTO Manager or the Program Manager (CEO may delegate to another senior manager).

Records will be disposed of via using a shredder or removed by a document destruction company.

In the case where the amount of hard copy documentation is beyond space availability, and is not approved for disposal, the CEO will manage the process of conversion into electronic copy of documentation.

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## **Student Access of Records**

It is our intent to ensure that Students have timely access to their records. We maintain 'up to date' records relating to enrolment and ongoing participation, a LMS is used for this purpose. The LMS is managed by the data entry officer and monitoring and overall management and review by the CEO. To access their records, students are required to contact the RTO Manager/Program Manager and request the Student Records Access Form, which they will need to fill out and sign and return to the CEO or his representative. Upon receipt of the completed form, the CEO will provide student access to records of their participation and progress.

### **Responsible parties**

- The CEO is responsible for the control and issue of this policy (this may be delegated).
- The CEO is responsible for providing the NCVET with AVETMISS compliant data.
- The CEO is responsible for the administration and execution of the policy and procedures.
- The Students Service officer is responsible for maintaining up to date records of enrolment, data entry of results and students access to their records via approval from Training Manager.
- The CEO is responsible for overall management and review of the LMS.
- The CEO will facilitate ongoing Professional Development to staff regarding use of the LMS and other records management processes.
- The CEO is responsible for data maintenance and backup.
- The CEO is responsible for secure storage of tapes (as per backup procedure) and checking restore functionality of data backup system.
- The CEO is responsible for the disposal of documents and recording details in the document disposal register.

### **Relevant documents and forms;**

- ***Student Records Access Form***

## **Marketing Policy and Procedure (Standard 4)**

TACIS ensures that it provides accurate information to Students about services and qualifications within its scope of registration under (Clause 4.1) of the Standards for RTOs 2015. This policy applies to TACIS marketing design, practice and advertising of its services in accordance with *Standards for Registered Training Organisations (RTOs) 2015*.

### **Clause 4.1**

***Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:***

- 1. accurately represents the services it provides and the training products on its scope of registration***
- 2. includes its RTO Code***
- 3. refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained***
- 4. uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4***
- 5. makes clear where a third party is recruiting prospective Students for the RTO on its behalf***
- 6. distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party***
- 7. distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO***
- 8. includes the title and code of any training product, as published on the National Register, referred to in that information***
- 9. only advertises or markets a non-current training product while it remains on the RTO's scope of registration***
- 10. only advertises or markets that a training product it delivers will enable students 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***
- 11. includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment, and***
- 12. does not guarantee that: i. a student will successfully complete a training product on its scope of registration, or ii. a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2, or iii. a student will obtain a particular employment outcome where this is outside the control of the RTO.***

This policy is to ensure that there is a clear procedure that clearly articulates the process to be followed when designing & distributing marketing materials for all the qualifications at TACIS. This also ensures that TACIS markets its education business in a professional, honest, ethical and

accurate manner, maintaining integrity and reputation of itself, the industry and registered providers.

This policy applies to TACIS's marketing design, practice and advertising of its services in accordance with *Standards for Registered Training Organisations (RTOs) 2015*.

All marketing and advertising materials will be developed by the Marketing Manager in consultation with the CEO and/or the RTO Manager. Marketing materials include but are not limited to:

1. Testamurs/Graduation Certificates
2. Statements of Attainment
3. Academic Transcripts/Record of Results
4. Students Handbook (including all other relevant information)
5. Course/Program Brochures/Flyers/Newsletters
6. Website pages etc.

Accuracy, integrity, currency and validity will be checked by respective managers.

Marketing materials will be edited with all due care and responsibility and must reflect that the training organisation's primary function is that of education and must clearly articulate the knowledge and specialisation of TACIS as educators.

All marketing materials, including electronic forms must clearly identify the RTOs legal identity and trading name with the ABN or ACN number, the RTO Code and CRICOS Code.

The CRICOS code must also be shown with the course offered and unit code and NRT logo stating the AQF outcome.

Training Package and qualification/accredited course details are to be provided.

The materials must not be misleading in any way, shape or form.

Once the materials are completed, they are provided to the CEO for final proofing and sign-off for release.

## Use of Logos

TACIS will use the following logos on its testamurs:

TACIS uses the NRT logo in accordance with current conditions of use and maintains a copy of NRT logo specifications on file, refer link below.

TACIS will include its corporate logo.

## Release

TACIS must obtain written permission from the owner of any article/item/testimonial and/or photograph/video which is to be used in TACIS marketing campaigns.

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This must be documented on the Authority to Use Information form.

## Procedure

- ♣ The Marketing Manager will ensure that any article/item/testimonial and/or photograph/video which are to be used in TACIS marketing campaigns will be approved via the completion by the permission provider on the Authority to Use Information form.
- ♣ The CEO must ensure that the NRT logo is used only within the rules of *Standards for RTOs 2015*.
- ♣ The CEO will verify that the testamur correctly identifies the AQF qualification that is on scope;
- ♣ The Marketing Manager in consultation with the CEO will complete the Marketing Materials Checklist to ensure that the materials comply with the *Standards for RTOs 2015*.
- ♣ The CEO must check that any advertisements of assessment/training services leading to AQF qualifications or statements is easily distinguishable to any other training and assessment services offered by TACIS prior to approving placement of the advertisement.
- ♣ TACIS must advertise AQF qualifications only if they are included in the RTO's Scope of Registration
- ♣ Marketing materials will be forwarded with the completed Marketing Materials checklist to the CEO for checking.
- ♣ The CEO and/or designated person will then validate the materials to ensure they are accurate and contain no misleading information.
- ♣ The final proof, the Marketing Authorisation Form will be completed by the CEO and attached to the marketing checklist and forwarded back to the Marketing Manager for expediting, or in the case of non-compliance - for correction.
- ♣ The CEO must ensure that all revised materials accurately reflect the courses on scope and changes are communicated to all staff.
- ♣ Any associations with other providers must be detailed by the Marketing Manager in the Ethical Marketing and Advertising Permission register.
- ♣ Once the CEO has completed the Marketing Authorisation Form, the materials are ready for release to print

The marketing materials must be archived showing changes and improvements and placed into the approved marketing file.

### *Relevant documents and forms:*

1. *Marketing Materials Checklist;*
2. *Marketing Authorisation Form;*
3. *Authority to Use Information form*
4. *Marketing and Advertising Register*
5. *Course Brochures/Flyers/Website*



## **Student Engagement Policy and Procedure (Standard 5)**

This policy is in place to ensure that TACIS provides prospective students with sufficient information prior to enrolment as well as the collection of fees.

TACIS will ensure it provides all relevant information to students prior to enrolment in line with the requirements in National Code Standard 2.1 to ensure students can make an informed decision about studying with the College. This will be done through the marketing materials and includes the following information:

- all requirements for acceptance into a course, including:
  - the minimum level of English language proficiency,
  - educational qualifications or work experience required and
  - whether course credit may be applicable
- course content and duration, qualification types, modes of study and assessment methods.
- campus location(s) and a general description of facilities, equipment, and learning and library resources available to students.
- details of any arrangements (if any) with another registered provider, person or business to provide the course or part of the course.
- course-related fees including advice on the potential for fees to change during the student's course and applicable refund policies.
- information about the grounds on which the student's enrolment may be deferred, suspended or cancelled.
- a description of the ESOS framework made available electronically by DEST
- relevant information on living in Australia, including:
  - indicative costs of living
  - accommodation options, and
  - where relevant, schooling obligations and options for school-aged dependents of intending students, including that school fees may be incurred.

TACIS will ensure students' qualifications, experience and English language proficiency are appropriate for the course for which enrolment is sought.

### **Procedure**

To ensure TACIS complies with the National Code Standard 2:

- Marketing information is to provide all relevant information (in line with the requirements in National Code Standard 2.1) to students prior to enrolment to ensure students can make an informed decision about studying with the College.

***Refer to the Marketing to International Students Policy***

***Refer to Marketing and Advertising Checklist - International V1***

- Formal engagement of any Education Agent will include the provisions that they provide prospective students with marketing materials with sufficient information (in line with the requirements in National Code Standard 2.1) so they can make an informed decision about studying with the College.

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Please, refer to Education Agents Policy.

## Overview of National Code Standard 2

Registered providers recruit students in an ethical and responsible manner and provide information that enables students to make informed decisions about studying with the registered provider in Australia. Registered providers ensure students' qualifications, experience and English language proficiency are appropriate for the course for which enrolment is sought.

**2.1 Prior to accepting a student, or an intending student, for enrolment in a course, the registered provider must provide, in print or through referral to an electronic copy, current and accurate information regarding the following:**

- a. the requirements for acceptance into a course, including the minimum level of English language proficiency, educational qualifications or work experience required and whether course credit may be applicable
- b. the course content and duration, qualification offered if applicable, modes of study and assessment methods
- c. campus locations and a general description of facilities, equipment, and learning and library resources available to students
- d. details of any arrangements with another registered provider, person or business to provide the course or part of the course
- e. indicative course-related fees including advice on the potential for fees to change during the student's course and applicable refund policies
- f. information about the grounds on which the student's enrolment may be deferred, suspended or cancelled
- g. a description of the ESOS framework made available electronically by DEST, and
- h. relevant information on living in Australia, including:
  - i. indicative costs of living
  - ii. accommodation options, and
  - iii. where relevant, schooling obligations and options for school-aged dependents of intending students, including that school fees may be incurred.

**2.2 The registered provider must have documented procedures in place, and implement these procedures to assess whether the student's qualifications, experience and English language proficiency are appropriate for the course for which enrolment is sought.**

## **Education Agents Policy and Procedure**

TACIS will enter into a written agreement with each education agent who will recruit students on its behalf.

TACIS will also endeavour to have a written agreement with agents who act on behalf of students and list all agents it has agreements with, on its website.

Agreements will specify the responsibilities of the education agent and TACIS and the need to comply with the requirements in the National Code.

TACIS will take all reasonable measures to use education agents that have an appropriate knowledge and understanding of the Australian International Education Industry and do not use education agents who are dishonest or lack integrity. TACIS has a process for monitoring the activities of the education agent allowing for the termination of contracts where necessary. TACIS will ensure that agents at all times have access to up-to-date and accurate marketing information.

### **Policy**

TACIS will enter into a written agreement with each education agent it engages to formally represent it. The agreement will specify the responsibilities of the education agent and TACIS and the need to comply with the requirements of the National Code. The agreement will also include:

- Processes for monitoring the activities of the education agent, including where corrective action may be required, and
- Termination conditions, including providing for termination in circumstances outlined in Standard 4.4.

TACIS will ensure that its education agents have access to up to date and accurate marketing information as set out in Standard 1 (Marketing information and practices).

TACIS will not accept students from an education agent or enter into an agreement with an education agent if it knows or reasonably suspects the education agent to be:

- Engaged in, or to have previously been engaged in, dishonest practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers under the Standard 7 (Transfer between registered providers).
- Facilitating the enrolment of a student who the education agent believes will not comply with the conditions of his or her visa.
- Use Provider Registration and International Student Management System (PRISMS) to create Confirmations of Enrolment for other than bona fide a student, or
- Providing immigration advice where not authorised under the *Migration Act 1958* to do so.

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

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

TACIS will monitor the activity of its agents on a regular basis and may include the following: regular face-to-face meetings, telephone meetings, regular reports from agents, surveys of students recruited by agents, spot checks by providers e.g. to observe agents at work, the RTO internal surveys of agents.

#### Related National Code Standard 4

##### *Overview of Standard 4*

*Registered providers take all reasonable measures to use education agents that have an appropriate knowledge and understanding of the Australian international education industry and do not use education agents who are dishonest or lack integrity.*

- 4.1** *The registered provider must enter into a written agreement with each education agent it engages to formally represent it. The agreement must specify the responsibilities of the education agent and the registered provider and the need to comply with the requirements in the National Code. The agreement must also include:*
  - a.** *processes for monitoring the activities of the education agent, including where corrective action may be required, and*
  - b.** *termination conditions, including providing for termination in the circumstances outlined in Standard 4.4.*
- 4.2** *The registered provider must ensure that its education agents have access to up-to-date and accurate marketing information as set out in Standard 1 (Marketing information and practices).*
- 4.3** *The registered provider must not accept students from an education agent or enter into an agreement with an education agent if it knows or reasonably suspects the education agent to be:*
  - a.** *engaged in, or to have previously been engaged in, dishonest practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers under Standard 7 (Transfer between registered providers).*
  - b.** *facilitating the enrolment of a student who the education agent believes will not comply with the conditions of his or her student visa*
  - c.** *using Provider Registration and International Students Management System (PRISMS) to create Confirmations of Enrolment for other than bona fide a student, or*
  - d.** *providing immigration advice where not authorised under the Migration Act 1958 to do so.*
- 4.4** *Where the registered provider has entered into an agreement with an education agent and subsequently becomes aware of, or reasonably suspects, the engagement by that education agent, or an employee or sub-contractor of that agent, of the conduct set out in Standard 4.3, the registered provider must terminate the agreement with the education agent. This paragraph does not apply where an individual employee or sub-contractor of the education agent was responsible for the conduct set out in Standard 4.3 and the education agent has terminated the relationship with that individual employee or sub-contractor.*

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

**Relevant documents and forms:**

- **Agent's Application Form**
- **Agent's Agreement & Agent's Certificate**

## **Critical Incident Policy and Procedures (Standard 6)**

In the event of a critical incident, TACIS recognises that appropriate infrastructure must be in place to ensure the provision of all necessary support services. This document outlines TACIS policy, support mechanisms and procedures for managing a critical incident.

This policy will ensure that TACIS has:

- An effective approach in responding to critical incidents as they occur;
- Appropriate support and counselling services available to those affected;
- Appropriate training and information resources provided to staff.

Under Standard 6 of the National Code 2007, Student Support Services, Registered Providers must support students to adjust to study and life in Australia, to achieve their learning goals and to achieve satisfactory academic progress towards meeting the learning outcomes of the course.

The intention of Standard 6 is to ensure that appropriate support services are available to international students to ease the transition into life and study in Australia and allow access to appropriate assistance for the student as needed.

Under Standard 6.4 the registered provider must have a documented critical incident policy together with procedures that covers the action to be taken in the event of a critical incident, required follow-up to the incident, and records of the incident and action taken.

### **1. Principles**

TACIS recognises the duty of care owed to its students and that planning for the management of a critical incident is essential.

### **2. Definition**

A critical incident is defined by the National Code as *'a traumatic event, or the threat of such (within or outside Australia), which causes extreme stress, fear or injury'*.

Critical incidents are not limited to, but could include:

- missing students;
- severe verbal or psychological aggression;
- death, serious injury or any threat of these;
- natural disaster; and
- issues such as domestic violence, sexual assault, drug or alcohol abuse.
- Non-life threatening events could still qualify as critical incidents.

### **3. Critical Incident Team / Coordinating Group**

When a critical incident occurs, the CEO, RTO Manager or their delegate will call a meeting with the appropriate staff to form a Critical Incident Team.

The Critical Incident Team is responsible for:

- assessing risks and response actions
- liaison with emergency and other services
- contact with students' relatives and other appropriate contacts
- liaison with other external bodies, such as home stays, carers or foreign embassies, and
- counselling and managing students and staff not directly involved in the incident.

#### 4. Action Plan

The Critical Incident Team will set in motion a critical incident action plan to manage various aspects arising from the incident, including communication strategies.

This will include:

- creating and disseminating a plan and its procedures
- a review of the plan, and
- staff development and training.

#### 5. Media Management

A media management process will be included in the management plan to ensure the most positive and supportive response from the media.

#### 6. Reporting and recording of incident and action taken

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

All aspects of the incident and its management will be recorded in the student files.

#### 7. Follow-up and evaluation

TACIS staff will be made aware of the critical incident policy and procedures and be given appropriate training to ensure the duty of care for international students is uppermost in their minds. A review and evaluation of the response to the critical incident will be conducted and the procedures reviewed by the Critical Incident Team and/or other stakeholders.

#### 8. Resources

Changes to the policy and procedures, including updating resources, will be made as soon as practicable following the review and evaluation.

#### Critical Incident Procedures

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**TACIS Critical Incident procedures detailed below, include:**

- Reporting and recording
- Flow chart and detailed action plan sample
- Evaluation and review checklist
- Staff training
- Resources and local links

**Appendices A - F provide additional information and samples for the following:**

- Staff training – things to remember
- Media hints
- Sample letters to parents
- Police involvement
- Death and funerals in Australia
- Other resources including a sample management plan

**Any action taken in regard to a critical incident will be recorded to include outcomes or evidence if the incident is referred to another person or agency.**

**When an international student dies or other critical events involving students occur, the RTO will take on many of the tasks which would normally be dealt with by the family of the victim were the incident to have occurred in the student's home country.**

**TACIS has in place efficient, sensitive and supportive strategies for dealing with a critical incident and provides support to members of staff, students and others in the community who are involved.**



## **Critical Incident Reporting and Recording**

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

When an international student dies or sustains serious injury, the RTO may be required to assist the student's family.

This may include:

- hiring interpreters
- making arrangements for hospital/funeral/memorial service/repatriation
- obtaining a death certificate
- assisting with personal items and affairs including insurance issues
- assisting with visa issues

In addition, the following need to be notified:

- Home stay or accommodation provider
- Library
- IT Services
- Utilities

### **On-Campus Incidents**

If the incident is on campus, the first action will be to contact the emergency services - fire, ambulance or police – as would be the case with other WH&S matters.

The CEO, RTO Manager or their delegate must also be contacted immediately when the incident involves death, serious injury or a threat to life or property.

### **Off-Campus Incidents**

If the critical incident involves a student or staff member and is off-campus, the person receiving the information must immediately contact the CEO, RTO Manager or their delegate who will communicate to other staff as appropriate.

### **Key Details to be Reported**

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Key details to report include the time, location and nature of the incident (e.g. threat, accident, death or injury), names and roles of persons involved (e.g. staff, international or domestic student).

The staff member receiving the news contacts the CEO, RTO Manager or their delegate / Head of the Critical Incident Team.

The CEO, or their delegate urgently deals with an emergency situation then calls a meeting with the staff involved to make decisions as to how to proceed.

The staff most likely to be present will be:

- The CEO, or their delegate
- The RTO Manager
- Administrator
- Trainer

The Critical Incident Team

At the initial meeting, the task of the group is to:

- create for themselves a clear understanding of the known facts.
- plan an immediate response.
- plan ongoing strategies.
- allocate individual roles/responsibilities for ongoing tasks.

Immediate response

Issues to be considered:

1. Contact with next of kin/significant others - what is the most appropriate manner of contact?
2. Arrangements for informing staff and students.
3. Guidelines to staff about what information to give to students.
4. A written bulletin to staff if the matter is complex.
5. Briefing staff and delegating a staff member to deal with telephone/counter inquiries.
6. Managing media/publicity
7. Identification of those students and staff members most closely involved and therefore most at risk.
  - Those directly involved
  - Personal friends/family of those involved
  - Others who have experienced a similar past trauma
  - Other students, staff, supervisors etc
8. Arrange a time and place for an initial group/individual debriefing session with Counsellor/s.  
*In this session, an opportunity is given to share the impact of the event, discuss various interpretations of the event in cultural/ethnic terms, the resulting sense of vulnerability, the experience of painful emotions and the normalisation of reactions.*
9. Organise a tasks timetable for the next hour/s, day/s etc.

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10. Plan ongoing feedback and regular meetings so that the coordinating team is continually in touch and working together.

11. Confirm access to emergency funds, if necessary.

*Note One member of the team should record for all meetings to keep records of content and decisions.*

### Ongoing and follow up response

These issues may need to be discussed at subsequent meetings.

#### **WHO is the DECISION MAKER?**

- **WHO will FOLLOW UP?**
- **Availability of mobile phones**
- **Notification of and liaison with Sponsor/Agent if applicable**
- **Arrangements for visits to/from Family**
- **Liaison with Police, Doctors, Hospital Staff**
- **Hiring Independent Interpreters**
- **Death Notices**
- **Funeral/Memorial Service Arrangements**
- **Refund of student's fees to pay repatriation or associated expenses**
- **Copy of Death Certificate**
- **Consideration of personal items and affairs (household and academic)**
- **Insurance Matters, OHSC Coverage, Ambulance Cover**
- **Formal Stress Management interventions required for students and/or staff (release from classes, leave, rescheduled assessment or exams)**
- **Liaison with Academic Staff**
- **Arrangements for further debriefing sessions for groups/individuals as required**
- **Liaison with Department of Immigration and Citizenship if studies will be interrupted**
- **Fees issue to be resolved if student cannot continue with their studies**
- **Legal Issues: helping students get access to legal assistance if required.**
- **Arrangements for further debriefing sessions for groups/individuals as required**
- **Follow up condolence or other letters to Family**
- **Financial Assistance for families of affected person(s) if residing in Australia**
- **Organising students/staff for hospital visits**

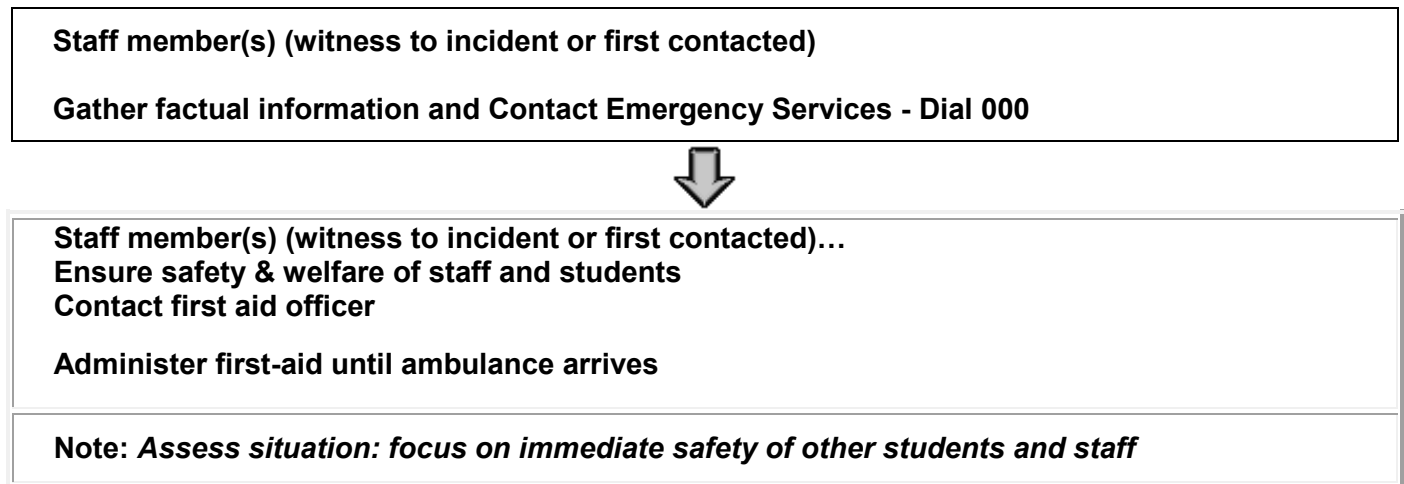
## Student File Essentials

In addition to the RTO Student Management System, TACIS will employ and use a file note system, keeping hard copies of student details in their personal files. This will enable all required staff to monitor any student issues.

Included in the file will be the following information:

- Coloured Photograph
- Copy of Passport, including number, photo page, and visa page
- Student's address and telephone number
- Student's religion
- Emergency contact telephone, with next of kin details, agent or sponsor (if applicable)
- Any other identification details - student ID, course details, medical conditions, allergy information etc.

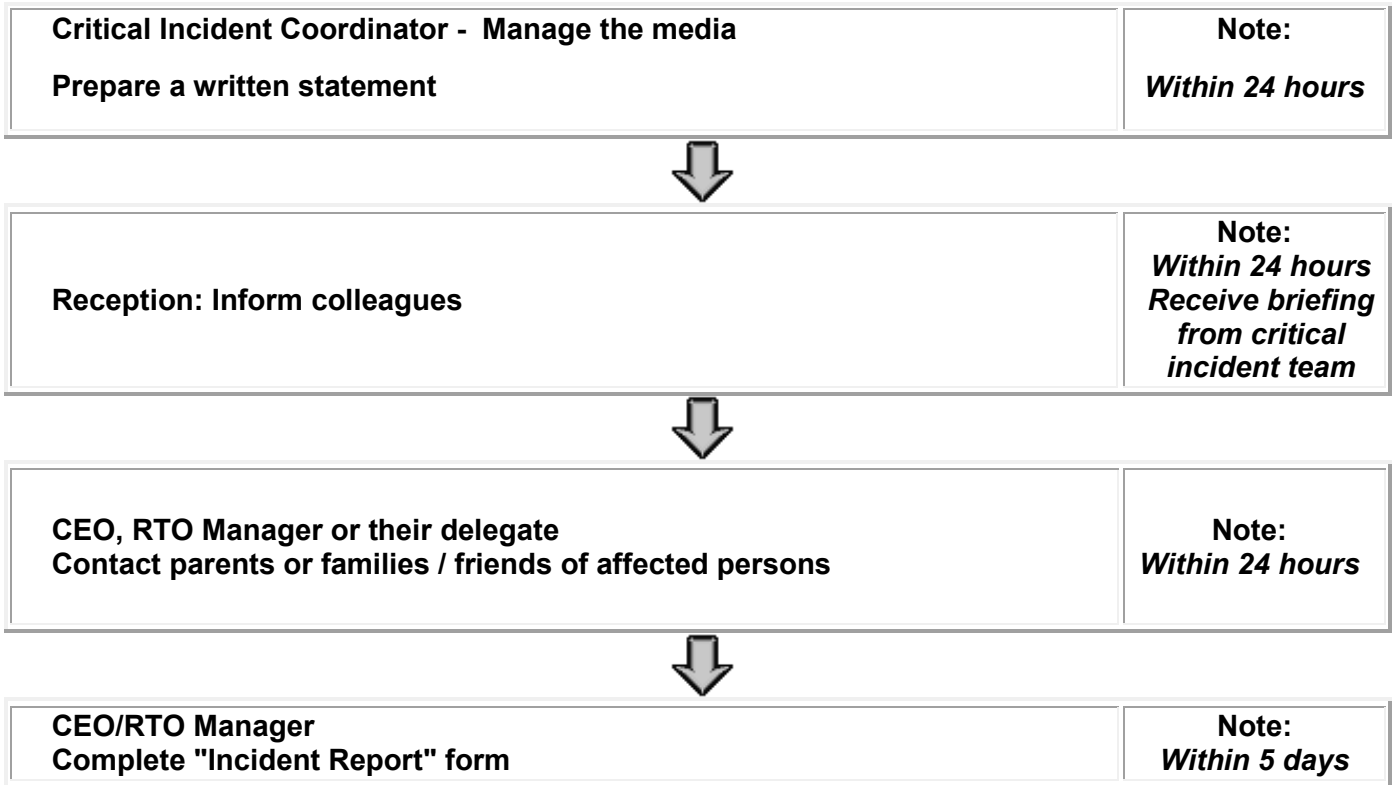
## Critical Incident Flowchart



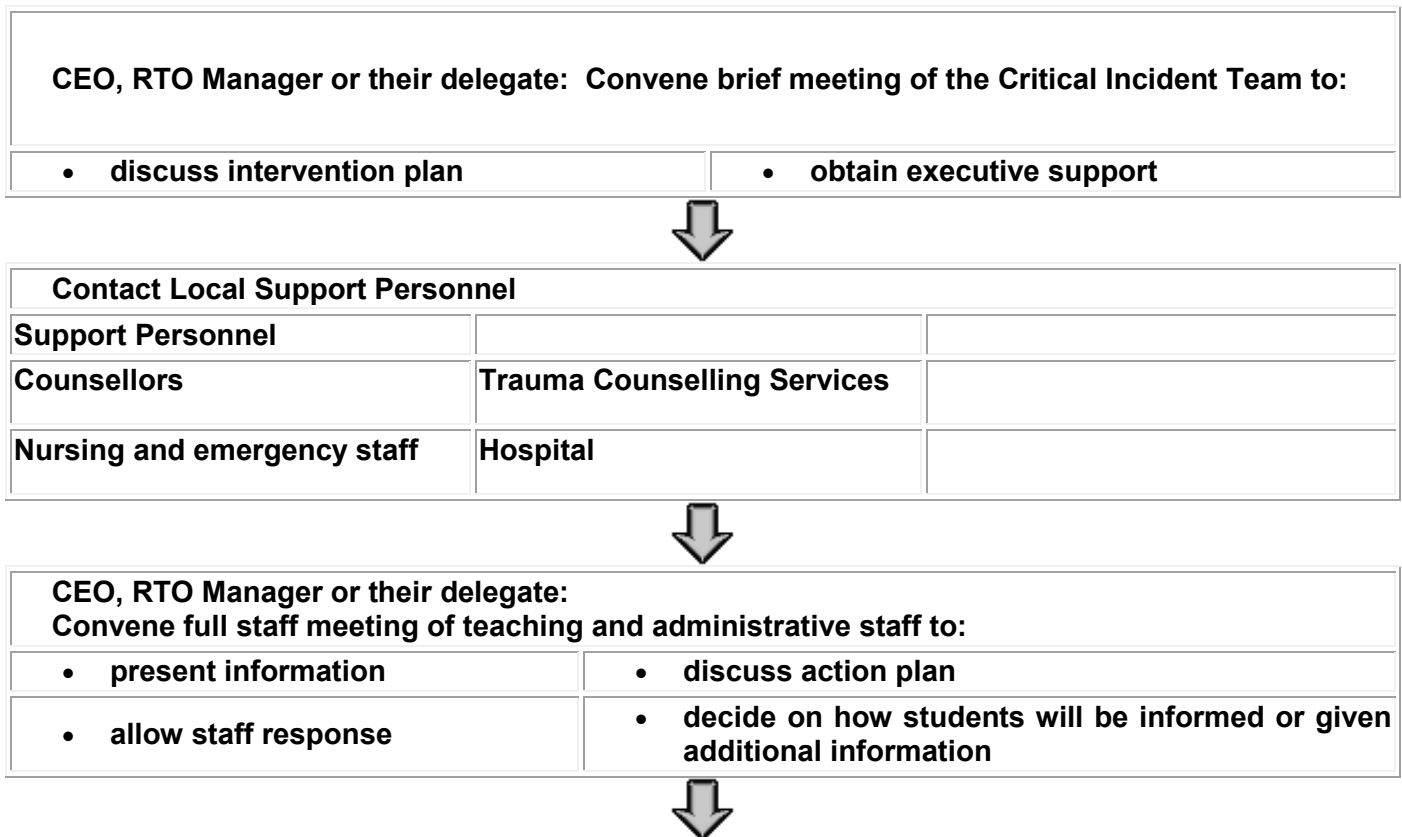
**NB: Once police or fire brigade arrive at the college, they will determine if other resources such as State Emergency Services (SES) are required to assist.**

## Critical Incident Team member to liaise with emergency services

<p><b>Staff: Contact Critical Incident Coordinator</b></p> <p><b>Staff: Give facts of the situation</b></p> <p><b>Staff: Receive advice from Critical Incident Coordinator on debriefing &amp; counselling</b></p> <p><b>CEO, RTO Manager or their delegate will manage incoming inquiries (and outgoing information via web, phone...)</b></p>	<p><b>Note:</b></p> <p><b>Contact team leader within the hour</b></p> <p><b>Debrief and counselling info as soon as practicable</b></p>
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**Additional Action (When appropriate)**



**CEO: Set up a recovery room in the college:**

- provide fluids
- comfortable chairs
- support personnel



**CEO, or their delegate: Inform students of:**

- facts of the incident
- school actions
- counselling services
- allow student discussion or response



**CEO and or Counsellors convene with first aid officers...**  
Identify "at risk" students and staff  
Be aware of others who have experienced trauma  
List of students involved



**CEO, RTO Manager or their delegate: Contact parents or families of "at risk" students and staff**



**CEO, RTO Manager or their delegate: Arrange debriefing for "at risk" students and staff**  
Organise for referrals to professional counsellors if required



**Student Services/Counsellor...Inform all parents via phone!!!**

- The facts of the critical incident
- the college's response plans
- possible reaction of students
- sources of help for families
- encourage two-way communication between parents and the college



**Critical Incident Coordinating Group: Restore the college to regular routine as soon as practicable**

- All staff can help here



**Critical Incident Coordinating Group: Obtain updated factual information**

- continue to inform staff, students and parents



**Critical Incident Coordinating Group: Continue to monitor well-being of students and staff**

All staff to report new information to Critical Incident Coordinating Group  
Staff may use rapport with students to counsel or refer on to professional body.  
Critical Incident Coordinating Group to be informed of all referrals.  
Recovery time for staff involved.

## Checklist for Staff Managing Critical Incidents

The CEO, RTO Manager or their delegate will seek information about the incident and will request that the information is not immediately made public.

The CEO, RTO Manager or their delegate or nominee will urgently deal with an emergency matter then call a meeting with the following staff or their nominees as a Critical Incident Team:

- CEO, or their delegate
- RTO Manager
- Program Manager
- Student Support Staff

The CEO, RTO Manager or their delegate will be appointed to manage TACISresponse.

### Response Checklist

As soon as possible, the CEO, the RTO Manager or their delegate will liaise with relevant staff to prepare a communication plan and nominate a spokesperson.

### Communication

- response and ongoing strategies including individual roles and responsibilities
- liaison with police, doctors, hospital staff and other relevant professionals
- legal assistance if required
- follow-up letters to family
- incident report for TACIS ' records

### Support for family, friends and staff

- next of kin (parents/guardian) to be contacted and support provided to family and friends.
- arrangements made for visits from family and friends, e.g. accommodation, travel, crisis support and referral to appropriate services.

### Checklist For Follow up, Review and Evaluation

How well were the following actions undertaken by the Critical Incident Coordinating Group? Please add comments below if you wish to clarify your choice.

1 = poorly; 5 = very well, most appropriately

Question	1	2	3	4	5
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Decision maker clear					
Follow up clear					
Availability of mobile phones					
Notification of and liaison with Agent if applicable					
Arrangements for visits to/from Family					
Liaison with Police, Doctors, Hospital Staff					
Hiring Independent Interpreters					
Death Notices					
Funeral/Memorial Service Arrangements					
Refund of student's fees to pay repatriation or associated expenses					
Copy of Death Certificate					
Consideration of personal items and affairs (household and academic)					
Insurance Matters, OHSC Coverage, Ambulance Cover					
Formal Stress Management interventions required for students and/or staff (release from classes, leave, rescheduled assessment or exams)					
Liaison with Academic Staff					
Arrangements for further debriefing sessions for groups/individuals as required					
Liaison with Department of Immigration and Citizenship if studies will be interrupted					
Fees issue to be resolved for student unable to continue with their studies					
Legal Issues: helping students get access to legal assistance if required.					
Arrangements for further debriefing sessions for groups/individuals as required					
Follow up condolence or other letters to Family					
Financial Assistance for families of affected person(s) if residing in Australia					
Organising students/staff for hospital visits					

**Critical Incident Staff Training**

It is important for TACIS staff to be aware of the existence of the Critical Incident Policy and Procedures.

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Resource workshop will be conducted regularly to locate all relevant community resources in immediate local area: Funeral Directors, Police and Medical Authorities, Religious Leaders, Ethnic Group Leaders, Media Representatives, Insurance Representatives, local Embassy or Consular representatives.

### Stress management

1. Debriefing as soon as possible after the event on an individual or group basis
2. Further debriefing - one or more days after the incident (group basis)
3. Follow up 2 - 6 weeks later - (individual or group basis)
4. Ongoing counselling as required
5. Recovery time for staff involved and the Coordinating Team members.

### Skills and knowledge

- Cross Cultural Skills
- Training Skills in Cross Cultural Communication
- Awareness of one's own values and biases and how they may affect the students
- Knowledge of resources on and off TACIS ' premises
- Uninterrupted access to those resources
- Communication skills
- Organisational skills
- Liaison skills
- Networking skills
- Stress Management skills
- Delegation skills
- Maintenance of clear and direct communication channels with decision makers
- Panic diffusion skills
- Skills to eliminate time lags
- Sensitivity to the issue of confidentiality
- Sensitivity towards different cultural expressions of grief and other emotions
- Protocol knowledge (eg: for repatriation to home country)
- Diplomacy skills
- Debriefing skills
- Monitoring skills for those affected by incident
- Recognition skills re: warning signs of risk to students affected by the incident
- Follow Up skills
- Advocacy skills (for students)
- Referral skills to legal, medical, religious assistance
- Recognition of one's own limitations
- Self-care skills

### Critical Incident Recovery Timeline

In order to successfully manage a critical incident, TACIS will always take appropriate action and provide support during and after a critical incident.

The recovery timeline following a critical incident will vary depending on the circumstances.

**Immediately (and within 24 hours)**

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- Gather the facts;
- Ensure safety and welfare of staff and students and arrange for first-aid if necessary;
- Where possible notify the time and place of the debriefing to all relevant persons;
- Manage the media;
- Set up a recovery room;
- Keep staff, students and parents informed.
- Ensure cultural issues are considered (ie. some cultures have the funeral services within the first 24hrs)

#### Within 48-72 hours

- Arrange counselling as needed;
- Provide opportunities for staff and students to talk about the incident;
- Provide support to staff and helpers;
- Debrief all relevant persons;
- Restore normal functioning as soon as possible;

#### Within the first month

- Arrange a memorial service, if appropriate;
- Encourage parents to participate in meeting to discuss students' welfare;
- Identify behavioural changes and the possibility of post traumatic stress disorder and refer to Health Contacts for Mental Health Services;
- Monitor progress of hospitalised staff or students;
- Monitor mental and physical health of all helpers.

#### In the Longer Term

- Monitor staff and students for signs of delayed stress and the onset of post traumatic stress - disorder - refer for specialised treatment;
- Provide support if needed;

#### In the Long Term

- Plan for and be sensitive to anniversaries, inquests and legal proceedings
- Access specialist support if needed.

#### Emergency Numbers and Contact Details

Police	000
Ambulance	000
Fire	000
Poison Info Line	131 126
Non Emergency Health Advice	13 HE AL TH
	13 43 25 84

The following details are for additional emergency services, national and/or state-based.

Reverse charge	12 555
Interpreting Services	131 450

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**ACPET**

**1800 657 644**

**Federal Government Support Numbers**

<i>Department of Education and Training ESOS Hotline</i>	<b>02 6240 5069</b>
<b>PRISMS Hotline</b>	<b>02 6240 7647</b>
<i>DIBP General Enquiries:</i>	<b>131 881</b>
<i>AEI-NOOSR (National Office for Overseas Skills Recognition)</i>	<b>1300 363 079</b>
<b>Australian Education International (AEI) Online</b>	<b>1300 363 079</b>
<b>Australian Passport Information Service</b>	<b>131 232</b>
<b>Centrelink - Studying and Training</b>	<b>13 2490</b>
<b>Consular Emergency Centre</b>	<b>1800 330 066</b>
<b>Customs Hotline</b>	<b>1800 061 800</b>
<b>DET General Enquiry Line</b>	<b>1300 363 079</b>
<b>Family Law Hotline</b>	<b>1800 050 321</b>
<b>Going to Uni - Student Enquiry Line</b>	<b>1800 020 108</b>
<b>Human Rights and Equal Opportunity Complaints Hotline</b>	<b>1300 656 419</b>
<b>National Security Hotline</b>	<b>1800 123 400</b>
<b>National Training Complaints Hotline</b>	<b>1800 000 674</b>
<b>Overseas Skills Hotline (National Office)</b>	<b>1300 363 079</b>
<b>Privacy Enquiries Line</b>	<b>1300 363 992</b>
<b>Taxation - Personal Tax Info Line</b>	<b>13 2861</b>
<b>Trades Recognition Australia - Australian Recognised</b>	<b>1300 360 992</b>

**Counselling and Support Services**

<b>Abortion Trauma and Crisis Pregnancy Help</b>	<b>1300 737 732</b>
<b>Aids Line:</b>	<b>1800 133 392</b>
<b>AIDS Information</b>	<b>1800 177 434</b>
<b>Brisbane Health Services Information Line</b>	<b>07 3236 4833</b>
<b>Cancer Helpline, Information and Support Service</b>	<b>13 11 20</b>
<b>Crisis Pregnancy</b>	<b>1800 650 840</b>
<b>Drug-Arm</b>	<b>1300 656 800</b>
<b>Eating Disorders Association Inc.</b>	<b>07 3876 2500</b>
<b>Gambler's Help</b>	<b>1800 156 789</b>
<b>Lifeline</b>	<b>131 114</b>
<b>State-wide Sexual Assault Helpline</b>	<b>1800 010 120</b>
<b>Rape and Incest Survivors Support Centre</b>	<b>07 3391 0004</b>
<b>Men's Telephone Counselling Service</b>	<b>1800 600 636</b>
<b>Women's Health New South Wales-wide</b>	<b>07 3839 9988</b>

**Australian Rescue and Emergency Service**

<b>Australian Search and Rescue</b>	
<i>Aviation Rescue</i>	<b>1800 815 257</b>
<i>Maritime Rescue</i>	<b>1800 641 792</b>
<b>State Emergency Service</b>	<b>132 500</b>

## **Appendix A Staff Training: Things to Remember**

In the event of any critical incident, the first thing to do is calm the affected party/parties down and offer hope.

Communicate simply, take control and give clear and practical directions in order to reduce the anxiety and connect the logic of the affected party/parties.

### **1. You are not superhuman.**

Managing a critical incident can be a very lonely time, especially if you are regarded as the focal link with international students at your institution. While you are busy providing care or support to those directly affected by the incident, your own health and emotional well-being may be at risk. Self-care should NOT be forgotten in your management strategy.

### **2. Take time out each day to telephone or e-mail another colleague**

This will give you not only a chance to debrief, but also to compare notes with sympathetic colleagues who have had similar experiences and a real understanding of what you are feeling. You are helping others while you help yourself.

### **3. Update the resources as necessary**

Insert as many local telephone numbers and contacts, and as much information as you can so that you can refer to the resources thereby allowing you to take effective and immediate action when necessary.

## **Who are you?**

As a staff member at TACIS, you are a person who interacts with International Students in a professional capacity.

You may be one of the first people notified in the event of a Critical Incident.

Ultimately, you are a concerned, caring, informed, capable, 'significant other' in the life of the international student.

His or her own family structure will be unavailable, so assume that you will be helpful and a positive influence, in spite of your 'outsider' role.

You, as an individual, will be more readily accepted than You as the Trainer or You as the Counsellor, or You as the Student Support Officer.

Optimise your own personal traits. Remember that it is more than likely that the international student has sought you out because of who you are, not what you are.

So, follow your instincts and act accordingly.

## **Preparing yourself**

How does one prepare for dealing with a critical incident in a cross-cultural setting?

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The attitude you assume is of the utmost significance:

- Expect the unexpected. Not everything occurs between 9am and 5pm.
- Do not be easily upset or disturbed by even the most extreme situations.
- Convey empathy and respect for the emotions of those involved.
- Worry and fear should not be conveyed to the person.  
Provide a sense of stability and strength.  
Be able to alleviate tension and anxiety.
- LISTEN - to what is said.
- LISTEN - to what is not said.
- Create a personal equilibrium between your own values and those of a different value system, but keep the values of the client foremost in your mind.
- There will be times when you are unavailable. Don't be consumed by guilt. As long as policy and procedures are in place, there will be someone else who can step in and fulfil the required role.
- Network with ethnic groups in the local community. Keep a list of useful contacts who may be able to assist in matters not directly related to the RTO: religious customs, family support, interpreters, embassy or consulate contacts.
- It is not always important to remain within the specific religious affiliation to receive help in an emergency situation. Helping, coping, counselling skills are not religiously oriented...sensitivity is common to all members of the clergy. Keep this in mind when seeking assistance.
- Learn as much as you can from foreign nationals about how they would deal with specific scenarios - Ask questions:
  - *“How should the body of a Muslim car accident victim be handled when the Coroner demands an autopsy and religious custom prohibits?”*
  - *“How does one act at a Chinese Buddhist funeral service? What is the proper way to express condolences?”*
  - *“How is mental illness regarded in your country?”*
  - *“What is the attitude toward rape in your country?”*

The idea is to gain knowledge in advance, whenever possible. Keep in contact with support networks. Whether by telephone or e-mail, there will always be someone available to use as a sounding board.

### Preparing Others

Many staff respond that they are not qualified to handle international students in crisis.

Eradicate this 'us and them' attitude by engendering team- work among staff with regard to assisting international students. Let them know that they can be of invaluable assistance in a crisis by offering short-term training and workshops.

Establish and maintain your own network of 'contacts'. Try to include as wide a variety of types and levels of staff as possible.

Keep in regular contact whether formally or informally, as these contacts will be your most reliable allies at a moment's notice.

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Conduct training regarding the Critical Incidents Policy for International Students. It is important for staff to be aware of the existence of such a policy.

Conduct a resource workshop to locate all relevant community resources in your immediate local area: Funeral Directors, Police and Medical Authorities, Religious Leaders, Ethnic Group Leaders, Media Representatives, Insurance Representatives, local Embassy or Consular representatives.

Coordinate and conduct a Mock Exercise to simulate a Critical Incident. Have the exercised observed and assessed by an outside party.

Follow up with a debriefing and feedback session, inviting Counsellors to educate participants about Stress Management, Post Traumatic Stress and general counselling principles when dealing with international students.

Conduct general Cross-Cultural Awareness training at regular intervals.

## **Appendix B Sample Letter**

### **Letter to Parents**

*(Sample letter in the event of a tragedy)*

Dear Parents,

The school has experienced *(the sudden death, accidental injury)* of one of our students. We are deeply saddened by the death/events.

*(Brief details of the incident, and in the event of a death, perhaps some positive remembrances of the person lost)*

We have support structures in place to help your child cope with this tragedy. *(Elaborate)*

It is possible that your child may have some feelings that he/she may like to discuss with you.

You can help your child by taking time to listen and encouraging them to express their feelings.

If you would like advice or assistance you may contact the following at the college:

CEO, or his delegate

TACIS

Yours sincerely,

## **Appendix C Media Hints**

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In many cases, TACIS would prefer not to issue a press release upon the death of an international student. However, in anticipation of some requests for comment from the media, it is advisable to have a press release drafted by management just in case.

Listed below are some helpful hints, which can be used and applied within the role of the Critical Incident Team:

1. "No Comment" = Not a good idea.
2. A good press release should answer the following questions:  

What?	How?	When?	Where?	Why?
-------	------	-------	--------	------
3. Add a joint statement from the PEO, or their delegate (or from staff representatives with a student support focus) which will signify unity and dissuade the press from looking for an 'alternative angle' on the story. The statement should include an expression of surprise and sadness at the tragedy, as well as compassion for the family of the victim.
4. A comment should be included explaining TACIS ' policy on responding to this kind of situation. In addition, if the situation warrants, it would be appropriate to comment on what measures will be put in place to ensure that any future events of this nature are avoided.
5. A telephone contact for further information is always left at the bottom of a press release. The Critical Incident Team should determine who will be responsible for media inquiries, and all staff should be alerted to the procedure for directing media inquiries to this person.

**Sample media release**

A sponsored male student from India, 31, has died at ....., in metropolitan New South Wales.

The CEO, RTO Manager or their delegate, ....., said the incident had saddened the college staff, its student body, and the international student community.

"We are all dispirited at the loss of a very promising young man. Our profound condolences go to his family", ..... said.

A memorial service staged at TACIS premises yesterday was attended by more than ..... people, including academic staff, International Student Support staff, family, friends, and classmates.

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**Note: *The release is short and to the point. It depicts the RTO as a caring institution, a position reinforced by the fact that the memorial service was held on the RTO's own grounds.***

**Note that the release was issued after the memorial service, to avoid the likelihood of media coverage at the service itself. The cause of death has been revealed, because of the young age of the deceased.**

**Should media investigate further, it is suggested that the PEO, or their delegate respond with a statement saying simply, "We are sure you will understand that we are not prepared to discuss any of the personal issues which may have been associated with this young man's death. It has always been our policy to respect the privacy of our students and their families."**

## **Managing the media**

**Each critical incident is unique and the dynamics of each situation will have to be assessed when it occurs. It is important that a structured approach to media management is developed and is included in the management plan to ensure the most positive and supportive response from the media.**

### **Take the media calls**

**The CEO, RTO Manager or their delegate or nominated person should handle the initial media calls. Be sure to return media calls as soon as possible.**

**It is important that the department has an input in media coverage so that the story is balanced. Therefore avoid answering questions with "no comment". Respond to questions accurately, however it may be necessary to explain to the media that you are unable to answer their questions at this time because:**

- i. of the sensitive nature of the issue or**
- ii. you do not have the information available.**

***It may be necessary to check with the police, ambulance or fire brigade etc, before making a statement.***

### **Response time is important**

**Officers likely to be contacted by the media need to be alerted immediately and kept informed as more details come to light. Inform reception as soon as possible that the incident has occurred, even**

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if the details are unclear. The “Media liaison officers” will need to be informed of the incident. They will be able to assist by handling media inquiries. The “media liaison officer” will liaise with the CEO, or their delegate regarding the situation.

**Channel all media inquiries through one person**

**The CEO will liaise directly with the media as more details are known.**

**Relate to journalists in a positive and friendly way**

**Enlist the support of the media to report accurate information and avoid being defensive. Journalists are professionals too. They have been assigned the job of reporting the story. They feel the public have a right to know and they will report the story with or without the RTO’s co-operation. In a major disaster, the media is an essential means of communicating information, e.g. providing hot-line phone numbers, etc.**

**Working with the media representatives as professionals and providing them with accurate information about the incident means staying in control. Cooperation can make the difference between inaccurate reporting resulting in a story that reflects negatively on the college and one which shows our caring role and our ability to respond effectively in a crisis.**

**Emphasis should be placed- in media comment- on the support available to students and staff.**

**Determine what the official response will be**

**Media liaison officers may be able to provide advice to staff about other developments or broader issues that may need to be considered when framing the response. They may also be able to offer advice about the most effective methods of responding to newspaper, radio and television interviews.**

**EXPRESS CONCERN \* RESTRICT ANSWERS TO FACTS \* ACCENTUATE THE POSITIVE**

**It is appropriate, for example, to:**

**State the facts about what has occurred and what is being done.**

**For example: when and where it occurred, how many people were involved or hurt, how much damage has been done, etc.**

**Describe the assistance being provided for students and staff who may have been traumatised.**

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Explain that the whole college has been deeply shocked, that all available resources and support services have been gathered and what steps are being taken to rectify the situation and get things back to normal as soon as possible.

*It is imperative to avoid making comments which imply blame or fault for any part of the incident, as there could be significant legal implications.* Official inquiries – e.g. by the police - are likely to follow serious incidents. Media comments on the public record may have a bearing on proceedings at such inquiries.

## Appendix D Police Involvement

While critical incidents are not only cases of sudden unexpected death, the police and others must be contacted.

The police are required to investigate all cases of sudden, unexpected death. Police actions include:

- Reporting such death to the Coroner
- Notifying next of kin
- Obtaining official identification of the deceased (this must be done by someone who has known the deceased for some time)
- Conducting investigations on behalf of the Coroner - for example, interviewing witnesses and others who may have been involved, collecting clothing and other items for use in evidence, delivering specimens for analysis.

### Coronial Investigations

Every death reported to the Coroner must be investigated. The body of the deceased will be taken to the morgue where it may be viewed by the relatives but not touched.

Once the coronial inquiries are complete (and this may take some time), the body will be released to funeral directors to await instruction from the next of kin. At this stage the body may be touched.

### Post Mortems (autopsies)

Most reported deaths require a post mortem examination to determine the medical cause of death. This usually involves an internal and external examination of the body, and of tissue, organ and blood specimens taken from the body. Cultural and religious objections to a post mortem may be discussed with the coroner or a court social worker. However, these objections very rarely influence the coroner's decision to conduct an autopsy.

### Inquests

An inquest is a public hearing before a coroner (and occasionally a jury) to decide the circumstances of death. Once initial investigations are completed, the Coroner may (as in 90% of cases) dispense with an inquest. However, the Coroner may order an inquest or, in certain circumstances (such as murder), an inquest may be legally required.

## **Appendix E Preparing for Funerals**

This information is taken from materials published by the Australian Funeral Directors Association. A variety of reading material is available.

Inquiries may be directed to:

**Australian Funeral Directors Association**

<http://www.afda.org.au/>

### **Arranging a funeral**

When faced with having to make funeral arrangements, most people have no prior experience in organising such an event, and little idea of what to do.

Initial interviews with the funeral director can be at a location nominated by you. While some people may have a fairly clear knowledge of the arrangements they want to make, others may want to consider a myriad of alternatives before making any decisions. The funeral director is there to guide and advise on the many matters which need to be considered.

**Decisions to make will include:**

- Time and location of the funeral
- Type of service
- Burial/cremation (reflection of the religious or ethnic attitudes and family traditions)
- Type of coffin
- Viewing arrangements
- Choice of participants
- Floral arrangements, motor vehicles and other relevant matters

### **The funeral director**

The funeral director will take responsibility for arranging, with the family concerned, the time and place for an appropriate funeral service by coordinating and liaising with clergy members, doctors, hospitals and cemetery or crematorium officials.

The funeral director will lodge notices in the press, arrange floral tributes, provide a hearse and other vehicles, a funeral chapel and any other facilities and personnel required to carry out the wishes of the family being served.

All official forms must be completed and taken to the appropriate people at the right time. The funeral director, for example, registers the death with the Registrar of Births, Deaths and Marriages.

The funeral director ensures that human dignity both of the deceased and the survivors is preserved, and performs tasks in a sensitive and understanding manner.

Kindness, helpfulness, understanding and the empathetic handling of funeral arrangements are the vital psychological components of the funeral director's role.

### **When someone dies**

When death occurs, the first practical consideration in most cases will be the need for a doctor's attendance. In Australia today, relatively few people die at home and in most cases the medical necessities and formalities will be taken care of by the relevant hospital or other authorities.

The deceased's doctor or the hospital authorities will explain what steps, if any, are required to establish the cause of death and complete the necessary death certificate. Meanwhile, the family may begin making their desired funeral arrangements, which can be completed when the death certificate has been signed.

### **The funeral ceremony**

All reputable funeral directors are able to provide a broad range of services to suit the precise requirements of the bereaved family.

Funerals can be as different as the people they are for, with their main purpose being to help the bereaved in the first stages of grief.

The order, style and content of service can all be varied to suit the family's needs. A personal tribute from a family member or close friend, or perhaps including appropriate cultural traditions, may make the service more meaningful.

### **Special circumstances**

Deaths from Suicide and AIDS may sometimes present special problems because of old religious discrimination and/or social stigma. Nevertheless, the need for people to mourn and the rituals of the funeral are still essential for friends and family.

When there is no body (e.g.: drowning accidents, abduction) it is still important to acknowledge the life of the deceased and help the family and friends to accept that death has occurred. A special memorial service to allow everyone to say goodbye and be able to get on with their grieving is

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essential. The use of photos, significant objects associated with the deceased's life, and perhaps candles are a great help to use in place of the body.

## Grieving

Grief is not a single response, but a complicated series of feelings, emotions and even physical manifestations of a person's reaction to the bereavement.

Grieving is an intensely personal process. Each death is unique and everyone affected will respond differently. Most survivors however, will pass through similar stages of grief from initial shock, numbness, and often denial and anger to realisation, acceptance and finally re-adjustment.

The intensity of grief experienced will be affected by a number of factors, including the degree of attachment to the deceased and the duration and quality of relationship with them. The greater the attachment, the longer it is likely to take to resolve grief.

However it is not the passage of time itself which brings resolution, but the working through of stages of grief. A meaningful funeral service can play a significant part in the crucial early stages of grieving.

## Disclaimer:

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This handbook is provided for guidance and while every effort is made to provide accurate, legal, and complete information, TACIS understands that any State or Federal legislation or national standards or guidelines will prevail should there be any perceived conflicts.

**Policy & Procedure Handbook Acknowledgement Form**

I, \_\_\_\_\_, hereby acknowledge that I have participated in the Staff Orientation session and that I have been explained and understand the content of the Policy and Procedure Handbook.

During the engagement with TACIS, I will abide by the rules, policies and procedures as contained in this Handbook.

Student Name: \_\_\_\_\_

Student Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name of Witness: \_\_\_\_\_

Signature of Witness: \_\_\_\_\_

Date: \_\_\_\_\_