



**Student Handbook and Policies and Procedures**  
**TOID: 40526**

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## **INTRODUCTION**

### **USING THIS HANDBOOK**

This handbook will be in access of domestic students who are looking to enrol or already studying with Sherwood Institute of Australia to develop their skills and knowledge in relevant sector, in the Program, offered by Sherwood Institute of Australia. All courses are offered as fee for service for domestic students.

### **SHERWOOD INSTITUTE OF AUSTRALIA (SIA): CODE OF PRACTICE**

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

## **ADMINISTRATION AND MANAGEMENT**

SIA will meet the following minimum administrative and management standards and will be responsible for:

- Ensure that staff with relevant qualifications and experience will undertake responsibility for the management and coordination of training, delivery, assessment, verification, staff selection and professional development of the Institute.
- Maintain adequate and appropriate insurance including public liability, and Work Cover.
- Advise the Registering Authority in writing of any change to the information contained in its Registration/Endorsement Application.
- Allow the Registering Authority access to training records, delivery locations and staff for the purpose of auditing performance or verifying compliance with the Conditions of Registration/Endorsement.
- Pay the Registering Authority all registration fees within 30 days of these fees being due and payable to maintain registration.
- Maintain systems for recording student enrolments, attendance, completion, assessment outcomes (including Recognition of Prior Learning), results, qualifications issued and grievances if any.
- Treat all personal records of clients with the strictest confidentiality.
- Provide facilities for staff and students to access their own records.
- SIA has got processes in place to ensure the compliance with commonwealth, state and Territory legislation and regulatory requirements.
- Compliance and reporting to regulatory bodies
- Meeting data provision requirements.
- Providing Quality Training and Assessment
- Complying with the standards for RTOs 2015.
- Issuing AQF certification, when all the assessment and financial requirements are met by the students.

### **Note: Please be advised that**

SIA does not guarantee that:

- i. 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 of SRTOs 2015 (<https://www.asqa.gov.au/standards/chapter-4/clauses-1.1-1.4-and-2.2>), or
- iii. a student will obtain a particular employment or migration outcome where this is outside the control of the SIA.

**Course being offered by Sherwood Institute of Australia:**

- BSB50420 Diploma of Leadership and Management

**CONTACTS and RTO DETAILS**

RTO No. 40526

Phone: (07) 3180 2300

<http://sherwood.edu.au/>

Email: [info@sherwood.edu.au](mailto:info@sherwood.edu.au)

Name: Diwakar Saraswat

Head Office Address: 19 Mclochlan St MOUNT WAVERLEY VIC 3149.

**Emergency Contact Details:**

In case of emergency, students can contact on this number:

Mr Diwakar Saraswat

0425861381

**LEGISLATIVE COMPLIANCE**

We must comply with the following legislation within the operations of our college:

- ✓ Workplace Health and Safety Act 2011
- ✓ Disability Act 2006
- ✓ Anti-Discrimination Act 1977 (Commonwealth)
- ✓ Copyright Act 1968 - Sect 1 Short title
- ✓ Working with Children Act 2005
- ✓ Working with children Act 2005 (Vic)
- ✓ Child Wellbeing and safety act 2005 (Vic)
- ✓ Charter of Human Rights and responsibilities Act 2006 (Vic)
- ✓ Human Rights and Equal Opportunity Act 1986
- ✓ Standards for RTOs 2015 under subsection of the National Vocational Education and Training Regulator Act 2011
- ✓ Information Privacy Act 2000
- ✓ National Vocational Education and Training Regulator Act 2011
- ✓ National Work Health and Safety Act and Regulations (Commonwealth)
- ✓ Privacy Act and National Privacy Principles (2001)
- ✓ Racial Discrimination Act 1975
- ✓ Sex Discrimination Act 1984
- ✓ Specific legislation noted in course materials.
- ✓ Workers Compensation Regulation 2003
- ✓ Workplace Injury Management and Workers Compensation Regulation 2002
- ✓ Student Identifiers Act 2014
- ✓ Data Provision Requirements 2012
- ✓ Privacy Act 1988 (Cth),
- ✓ Standards for Registered Training Organisations 2015.
- ✓ Comply with the Australian Qualifications Framework (AQF);
- ✓ National Vocational Education and Training Regulator Act 2011

### **Important Links:**

For access to Australian Legal Information Institute databases of Commonwealth, State legislation see [www.austlii.edu.au](http://www.austlii.edu.au)

For access to Occupational Health and Safety legal obligations see [www.nohsc.gov.au](http://www.nohsc.gov.au)

For legislative and regulatory requirements relating to VET see the following web sites:

- Australian Skills Quality Authority [www.asqa.gov.au](http://www.asqa.gov.au)

According to the Standards for Registered Training Organisation(RTOs) 2015, we, as Registered Training Organisation (RTO) are obliged to provide data on our students and courses.

### **Privacy Notice:**

Under the Data Provision Requirements 2012, Sherwood Institute of Australia is required to collect personal information about you and to disclose that personal information to the National Centre for Vocational Education Research Ltd (NCVER).

Your personal information (including the personal information contained on the enrolment form or collected during the enrolment process), may be used or disclosed by Sherwood Institute of Australia (SIA) for statistical, administrative, regulatory and research purposes. SIA may disclose your personal information for these purposes to:

- Commonwealth and State or Territory government departments and authorised agencies; and
- NCVER.

Personal information that has been disclosed to NCVER may be used or disclosed by NCVER for the following purposes:

- populating authenticated VET transcripts;
- facilitating statistics and research relating to education, including surveys and data linkage;
- pre-populating RTO student enrolment forms;
- understanding how the VET market operates, for policy, workforce planning and consumer information; and
- administering VET, including program administration, regulation, monitoring and evaluation.

You may receive a student survey which may be administered by a government department or NCVER employee, agent or third party contractor or other authorised agencies. Please note you may opt out of the survey at the time of being contacted.

NCVER will collect, hold, use and disclose your personal information in accordance with the Privacy Act 1988 (Cth), the National VET Data Policy and all NCVER policies and protocols (including those published on NCVER's website at [www.ncver.edu.au](http://www.ncver.edu.au)).

For more information about NCVER's Privacy Policy go to <https://www.ncver.edu.au/privacy>.

## **SOME OF THE ESSENTIAL PERSONNEL WORKING WITH YOU**

### **Training and Compliance Department**

Training Manager is responsible for the standard of training and safety within SIA and for the assessments conducted whilst students are attending SIA.

The Trainers at SIA are experienced enough to conduct training and assessments activities. In addition, trainers are responsible for day to day course administration. All have at least a Certificate IV in Training and Assessment (TAE40116) and all the necessary endorsements to allow them to conduct and assess competency and underpinning knowledge. Trainers and assessors must, by law, maintain accurate records of attendance and participation.

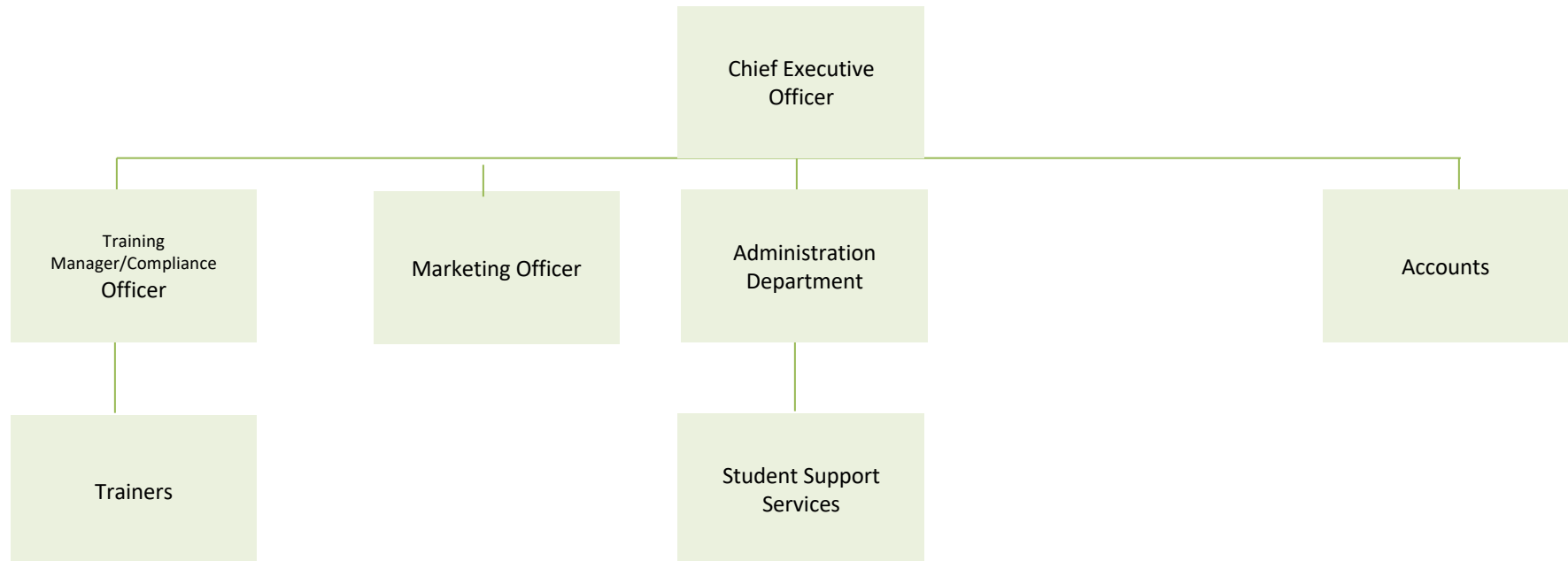
Compliance officer will be responsible for maintaining the compliance of the organisation with the relevant standards and legislations applicable to Sherwood Institute of Australia.

### **Chief Executive Officer**

CEO in coordination with Training and compliance department is responsible for all administrative tasks such as handling all payments and coordinating your course activities.



## SHERWOOD INSTITUTE OF AUSTRALIA COMPANY STRUCTURE



## COMPETENCY STANDARDS, NATIONAL QUALIFICATIONS, AND ASSESSMENT GUIDELINES

A Training Package consists of three parts:

**Competency Standards** provide an industry benchmark for training and assessment. They specify the scope of knowledge and skills to be covered in the Training Package. They are the basis for designing vocational education and training courses and assessment approaches for delivery off-the-job by registered training organisations (RTOs).

**National Qualifications** within the Australian Qualifications Framework (AQF) are awarded when a learner has been assessed as achieving a combination of Units of Competency that provides a meaningful outcome at an industry or enterprise level. Each qualification consists of core and/or elective Units of Competency. These cover knowledge and skills that workers require in performing a job. Where an individual achieves one or more Units of Competency without completing a full qualification, a Statement of Attainment is issued that recognises their achievement.

**Assessment Guidelines** provide a framework for accurate, reliable and valid assessment of the applicable Competency Standards. They ensure that all assessments are thorough, consistent and valid. They provide important quality assurance in the issuing of qualifications. To be assessed as competent and attain a specific competency standard, a learner needs to be able to competently perform all the elements in the performance criteria of a unit of competency. Learners will be required to collect evidence from both on and off-the-job training and/or classroom-based training and work placements. It is the combination of both the on and off-the-job training evidence that supports an assessment of competence.

### Assessment

Assessment is the process of gathering and judging evidence in order to decide whether has achieved a standard or objective and it is a competency-based assessment. The competency-based assessment is the method of gathering and judging of evidence in order to decide whether you achieved a standard of competency.

The assessment tasks within this unit provide you with the opportunity to demonstrate evidence of the required knowledge and skills to Maintain work health and safety.

### Principles of Assessment

The four principles of assessment are followed in assessment of each Student's evidence of competence.

The four principles are:

- Validity
- Reliability
- Flexibility
- Fairness

#### Validity:

- assessment against the unit(s) of competency and the associated assessment requirements covers the
- broad range of skills and knowledge that are essential to competent performance;
- assessment of knowledge and skills is integrated with their practical application;

- assessment to be based on evidence that demonstrates that a Student could establish these skills and knowledge in other similar situations; and
- Judgment of competence is based on evidence of Student performance that is aligned to the unit/s of competency and associated assessment requirements.

**Reliability:**

Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

**Fairness:** The individual Student's needs are considered in the assessment process. Where ever appropriate, reasonable adjustments are applied by the SIA to take into account the individual Student's needs. SIA informs the Student about the assessment process and provides the Student with the opportunity to challenge the result of the assessment and be reassessed if necessary.

**Flexibility:** Assessment is flexible to the individual Student by:

- reflecting the Student's needs;
- assessing competencies held by the Student no matter how or where they have been acquired; and
- Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

**Rules of evidence**

There are four rules of evidence that guide the collection of evidence. The learner's work must demonstrate the rules of evidence e.g.:

Valid – The assessment task must cover the required skills and knowledge

Sufficient – it must be enough to satisfy the competency

Current – skills and knowledge must be up to date

Authentic – it must be the learner's own work and supporting documents must be genuine.

**Competency/Submission Details and Instructions**

For you to achieve competency in each unit, you are required to complete all the tasks and submit according to your proposed timetable or else as negotiated with trainer. The Student instructions for each task have been mentioned before the start of each task in the assessment workbook. You must achieve satisfactory ratings on all tasks and all completed assessment tasks must be submitted in form hard copy or email to your trainer/assessor.

- Students can either submit the answers of assessment tasks by using software suite like Microsoft Office or submitted in printed form or handwritten. (If you are not comfortable with this form of assessment please speak to your trainer for alternative arrangements)
- Reports / templates where provided (workplace assessment tasks) should be completed by hand and submitted along with printed documents.
- At each submission of your assessment, the Student must declare that the work submitted is his/her own and has not been copied. Failure to do so will result in the assessment work being returned for completion thus delaying the assessment.
- Make sure you have read all supporting resources prior to commencing and completing any of the questions and activities in this assessment workbook.
- If you are unsure of the requirements of any assessment task – please contact your trainer/assessor, for clarification. Reasonable adjustment options are available however this must be arranged with the Training Department prior to assessment.
- You must ensure that you have attempted and completed all assessment tasks in this Student Assessment Workbook prior to submitting for assessing.

- Written questions require in-depth responses and answers must be correct, sufficient and in acceptable form of quality and standard
- All the above items must be adhered to. Failure to do so will result in your work being returned to you, delaying the assessment of your tasks.

### **Understanding the assessment grading system**

Assessments for qualifications are competency based, which means Students are assessed against the unit of competency requirements. Assessment results are recorded as follows:

- Satisfactory (S) result: The Student's submitted work satisfies the learning requirements and competency standards for the Task.
- Not Satisfactory (NS) result: The Student's submitted work does not demonstrate the understanding of competency standards in the Task.
- Competent (C) result: Once a Student receives a satisfactory result for all required assessment Tasks, as per the learning requirements and all competency standards for the unit (in accordance with the unit of competency details at National Register [www.training.gov.au](http://www.training.gov.au)), C outcome will be awarded for the entire unit.
- Not Yet Competent (NYC) result: If any of the Tasks in unit is NS, a Student will receive NYC outcome. He/she will receive written feedback from a trainer/assessor, clearly outlining where the gaps are. The Student will then be required to rectify these gaps and re-submit his/her assessment for marking.

### **Re-assessment**

If the result of your Unit Assessment is "Not yet Competent (NYC)", you will be given an opportunity for reassessment.

Each Student has three (3) attempts to achieve a competent outcome, including two resubmission attempts. You will only work on the component(s) of the Task(s) that were marked "Not Satisfactory". The re-assessment must be completed within 14 days of assessment feedback given to you by your facilitator/assessor. Please note that SIA will provide two (2) chances for re-assessment at no cost. If you are not able to achieve competency with all of these opportunities, you are required to repeat the unit at your own cost which will also impact on your extension of study period.

### **Plagiarism and Collusion**

Plagiarism and collusion are both forms of cheating. It is taking and using someone else's ideas, writings or information and representing them as your own. Plagiarism is a serious act and may result in a participant's exclusion from a unit or a course. When you have any doubts about including the work of other authors in your assessments, please consult with your trainer/assessor. In case you need further information about plagiarism and collusion, please ask SIA staff to provide you with the copy of Plagiarism, Academic Misconduct and non-academic Misconduct Policy and Procedure. The following list outlines some of the activities for which a participant can be accused of plagiarism:

- Presenting any work by another individual as one's own unintentionally
- Submitting assessments copied from another Student
- Presenting the work of another individual or group as their own work
- Submitting assessments without the adequate acknowledgement of sources used, including assessments copied totally or in part from the internet

### **Referencing your work**

The Students are required to use the right sources in their work. By doing proper referencing, you are acknowledging that you have used someone else's information or work. SIA encourages its Students

to use APA 6th referencing Style. You can visit <http://guides.lib.monash.edu/citing-referencing/apa> for the style information or visit <https://www.refme.com/au/referencing-generator/apa/> for APA style references generation. You must reference all sources that you use in your assignment, including words and ideas, facts, images, videos, audio, websites, statistics, diagrams and data.

There are two parts to every referencing system:

- In-text reference - a reference to a source of information placed within the body of the work.
- The reference list - a list of all sources referred to in the work, located at the end of the work.

Please ask your trainer if you do not know how to reference your evidence. Ensure your work is referenced to prevent plagiarism.

### **Appealing a decision**

Where a Student disagrees with a decision made by SIA regarding outcome of unit, plagiarism or cheating, he/she may pursue appeal proceedings in accordance with the SIA complaints and appeals process given in Complaints and Appeals procedures, as you have the right to appeal the final decision. More information about this process can be found in the in complaints and appeal policy and procedure.

### **Reasonable Adjustments**

If you have special needs or disabilities, reasonable adjustment will be organised in accordance with the organisation assessment process of policy and procedures.

This may include but not limited to:

- visual difficulty; we can assist by making adjustments such as larger print of documents, assessment tools and forms
- physical disabilities; assessment may be broken down into shorter/longer lengths of time, where applicable
- sick or have medical condition, due date extension may be provided
- LLN Support

Examples of reasonable adjustment in assessment may include but not limited to:

- Submission of an oral assessment task for a written one
- Provision of extra time
- Use of adaptive technology

The requirements for special needs must be established and an appropriate record must be kept of the efforts

made to establish special need and the outcomes of these efforts.

### **UNIQUE STUDENT IDENTIFIER (USI)**

If you are undertaking nationally recognized training delivered by a registered training organization (such as SIA ) from 1 January 2015 you will need to have a Unique Student Identifier (USI). A USI account will contain all your nationally recognized training records and results from 1 January 2015 onwards. Students who have completed any units or qualifications from 2015 onwards will not be issued their certificates and/or statements of attainment until a verified USI has been created for you as per the Student Identifiers Act 2014.

### **Language, Literacy and Numeracy support**

The increased importance of employability skills such as communication and problem solving skills in the early childhood education sector, highlights the need for underpinning foundation skills. The Australian Core Skills Framework (ASCF) defines these foundation skills as reading, writing, oral communication, numeracy, and learning, which are essential for effective performance in the workplace. Learners who have language, literacy or numeracy needs may require additional support or customised training and assessment. SIA will make every endeavour to accommodate these learners and support this approach by:

- \* Assessing the learner's language literacy and numeracy skills during a pre-training review to ensure they have adequate skills to complete the training program
- \* Supporting learners with training and assessment material and strategies that are easily understood and suitable to the level of the workplace skills being delivered
- \* Providing information to learners about details of language, literacy and numeracy assistance available.
- \* Where a level of support is assessed as necessary for a learner that is beyond the support offered by SIA, the learner will be referred to external language, literacy and numeracy support services, and an extension of time to complete the training program negotiated if necessary.

### **Methods of assessments**

Following assessment methods but not limited to, are used by SIA in the assessment tasks.

- RPL and Gap Training
- Projects/Case study/Role play/scenario

### **Training and Assessment Strategies**

The Training and Assessment Strategies and practice are the approach of, and method adopted by, an RTO (SIA) with respect to training and assessment designed to enable learners to meet the requirements of the training package or accredited course.

Please note if students want to read TAS of their courses, they can ask for the same from their trainer/assessor.

### **Recognition of Prior Learning and Credit Transfer**

#### **Recognition of Prior Learning**

Recognition of prior learning (RPL) is an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit.

#### **Credit Transfer**

Credit transfer (CT) is a process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications.

Please refer to relevant policy and procedure for detailed information.

### **Commitment by the students in the training of BSB Qualification**

The students are required to attend 20 hours per week of classes according to the training plan.

### **Delivery arrangements**

Please note that the students must meet the entry requirements for the course to gain entry into the Qualification. BSB50420 Diploma of Leadership and Management will be delivered in the premises organized by SIA. Access to the workplace during the entire duration of the course and access to all the resources needed to complete the qualification will be required. This may include any equipment needed as part of the training package requirement of the unit and human resource needed to complete any task of any assessment tool such as in case of role plays where more than one participants are needed to demonstrate any skill or knowledge.

Please refer to the course information for the mode of delivery for each course later in this document.

### **Self-directed learning (SDL):**

Students are expected to dedicate allocated hours towards self-directed learning for each Qualification. SDL hours is time allocated for each unit and ultimately to the each qualification that the students are expected to spend, on the top of training and assessment hours, achieve the learning outcome of the unit of competency. This may constitute undertaking self-studies, research, attempting assessment tasks and additional activities (if provided) at home.

**Training Plans/Timetable:** Students will be provided with their individual training plans/timetable.

### **Leave**

Students who feel they are unable to undertake any aspect of the qualification because of any unforeseen Circumstances must communicate this to their trainer/assessor. Whilst missed assessments and deadlines will be entered into the SMS (Student management system), these must be made up for before a certificate or qualification will be issued.

### **Expulsion**

Sherwood Institute of Australia reserves the right to expel students for serious breaches of discipline following appropriate Sherwood Institute of Australia disciplinary procedures. Fees paid are not refunded for expelled students.

### **DUE DATES FOR ASSESSMENTS**

All assessment due dates are set dates by which assessment tasks must be submitted and are stated on the class or individual's training plan. Learners are expected to take responsibility for meeting due dates and plan their work accordingly. The due date is the day the assignment must be received by SIA. Unit End date is usually considered as due date for the assignment. Students are advised to finish their assessment tasks by the end date of the unit so they don't have anything pending for the past unit while they study the next unit.

## **EXTENSIONS**

Assessments must be submitted by the due date or an extension negotiated no later than the 12 hours prior to the original due date. Learners need to apply for an extension via their Trainer. Please note the learners can also request their trainer/assessor for extension verbally. It is the discretion of trainer/assessor to grant or refuse.

Extensions will be granted on a case by case basis and are not guaranteed. Approval is up to the discretion of the Trainer/Training Manager. An extension will only be granted when the learner has a valid reason for not submitting work on time such as illness or other serious matters and supported by documentation e.g. doctor's certificate.

## **Results and Certificates**

All learners are entitled to receive a Record of Results and testamurs. Learners who have completed and been assessed as competent in all units of competency of a course will receive a Certificate and record of results. Learners must settle any outstanding fees before they can collect their qualification. Learner results will be kept on file for 30 years. Additional or replacement copies of the record, statement or certificate can be requested from the RTO at no cost.

We will issue your qualification when all assessments on and off-the-job records have been marked as satisfactory and all units are assessed as Competent (C). Additionally, all administration requirements will have been met and any outstanding fees have been paid before qualifications will be issued.

Learners are entitled to receive statement of attainments if they have completed one or more accredited units at any stage throughout the course, or upon withdrawal or deferral.

Please allow 30 days after your file is completed before receiving your certificate. Should you need evidence of completion earlier contact the Training Manager for a letter of completion (we cannot however print this until your file has been checked by the Training and Compliance team).

## **Withdrawal and Deferral**

SIA learners who wish to withdraw or defer from training must notify SIA in writing. Withdrawals and deferrals will be processed within a week upon receipt of written confirmation, or after 4 weeks if there has been no contact from the learner in response to a withdrawal or deferral letter being sent to them by SIA.

Learners who apply for a deferral can be granted two deferrals for a maximum of 12 month. Additional fees and charges may be associated with the recommencement of training.

## **STAFF RESPONSIBILITIES FOR ACCESS/ EQUITY & EQUAL OPPORTUNITY ISSUES**

Sherwood Institute of Australia has a Training manager, He is the persons that you should direct all problems and information requests: he will refer issue to the best person.

Training manager acts as the access and equity officer for Sherwood Institute of Australia so if you are experiencing any harassment or discrimination, refer the matter to the training manager in writing.

Sherwood Institute of Australia:

- Aims to ensure that access to employment and training is available, regardless of gender, socioeconomic background, disability, ethnic origin, age or race.



- Delivers training services in a non-discriminatory, open and respectful manner.
- Ensures staff are appropriately skilled in access and equity issues, including cultural awareness and sensitivity to the requirements of clients with special needs.
- Provides facilities updated to provide reasonable access to clients of all levels of mobility, and physical and intellectual capacity.
- Conducts client selection for training opportunities in a manner that includes and reflects the diverse client population.
- Actively encourages the participation of clients from traditionally disadvantaged groups and specifically offers assistance to those most disadvantaged.
- Provides culturally inclusive language, literacy and numeracy advice and assistance that assists clients in meeting personal training goals.
- Is accountable for its performance in adhering to the principles of this policy, and welcomes feedback as part of its quality improvement system.

Requires staff and students to comply with access and equity requirements always.

Sherwood Institute of Australia provides equal opportunity in education. Each of our staff members has responsibility for access and equity issues for all students with whom they train and work. They are expected to act in accordance with our Code of Practice and all of our students are made aware of their rights and responsibilities through this Student Handbook.

### **Student Rights**

- Be treated fairly and with respect by SIA staff and other students;
- Learn in an environment free of discrimination and harassment;
- Learn in a supportive and stimulating environment in which to pursue their goals;
- Have access to counselling if desired or required;
- Privacy concerning records that contain personal information, subject to statutory requirements;
- Be given information about assessment procedures at the beginning of the subject/competency/module and progressive results as they occur;
- Lodge a complaint without fear of retaliation or victimization;
- Have Principles of Natural Justice applied during any investigation process concerning a breach of the Student Code of Conduct.
- Formally notify the SIA of any absence of greater than three consecutive study days or of any withdrawal from enrolment

### **Student Responsibilities:**

All students have a responsibility to:

- Treat other students and SIA staff with respect and fairness
- Follow any reasonable direction from a member of SIA staff
- Refrain from swearing, drinking and eating in classrooms and other learning areas (water only allowed).
- Behave responsibly by not littering, harassing fellow students or staff, damaging, stealing, modifying or misusing SIA or other student's property
- Behave responsibly by not possessing or being under the influence of drugs and alcohol.
- Refrain from using mobile phones, pagers or any other electronic devices that may disrupt classes.
- Attend scheduled classes and SIA activities regularly and complete all assessments within the required timeframe.

- Do all assessment tasks and examinations honestly, and not engage in plagiarism, collusion or cheating.
- Follow SIA safety practices, including wearing approved clothing and protective equipment and following both written and verbal directions given by SIA staff.
- Not to behave in a way that would offend, embarrass or threaten others.
- Comply with all lawful regulations, rules or procedures of the SIA that pertain to them.
- Pay all fees and charges levied by the SIA within the required timeframe.
- Attend all meetings called by the SIA to discuss academic or course progress
- Meet or carry out all activities agreed with the SIA in relation to maintaining course progress or academic performance

## **BREACH OF CONDUCT**

A Student breach of conduct occurs when a student behaves in a manner described below:

- Assaults, attempts to assault or threatens a person on the SIA premises.
- Acts contrary to Equal Opportunity practices of the SIA which is committed to the prevention and

Elimination of discrimination on the grounds of:

- o Age;
- o Impairment;
- o Industrial activity;
- o Lawful sexual activity;
- o Marital status;
- o Physical features;
- o Political belief or activity;
- o Pregnancy;
- o Race;
- o Religious belief or activity;
- o Sex;
- o Status as a parent or a carer;
- o Personal association (whether as a relative or otherwise) with a person who is identified by reference to any of the above attributes.

- Disobeys or disregards any lawful direction given by an officer of the SIA.
- Acts dishonestly or unfairly in connection with an examination, test, assignment or other means of assessment conducted by the SIA
- Deliberately obstructs any teaching activity, examination or meeting of the SIA
- Engages in any conduct or activity prejudicial to the management and good governance of the campus.
- Deliberately obstructs or attempts to deter any officer or employee of the SIA in the performance of their duties
- Willfully damages or wrongfully deals with any SIA property.
- Attends the SIA whilst under the influence of alcohol or affected by drugs, etc. or possesses, uses or traffics a drug of addiction or drug of dependence within the meaning of the Crimes Act
- 1958 or the Drugs Poisons and Controlled Substances Act 1981 or any Act in substitution thereof.
- Carries or uses such items as firearms, knives, syringes, etc as a weapon
- Fails by or within the agreed required date or period, to pay any fee or charge payable to the SIA

- Fails to comply with WH&S regulations or willfully places another person in a position of risk or danger
- Fails to consistently and regularly attend scheduled classes and activities
- Constantly interrupts class time through the use or presence of mobile phones and pagers
- Uses abusive language.
- Fails to attend meetings called to discuss academic or course progress
- Fails to carry out actions or engage in activities agreed with the SIA to maintain course or academic progress.
- Fails to formally notify the SIA of any prolonged absence, change of address and contact details or of any withdrawal from enrolment.

#### **IN THE EVENT OF NON-COMPLIANCE/BREACH WITH OUR RULES; THE FOLLOWING APPLIES**

- A Trainer or the manager will contact you to discuss the issue or behaviour & to determine how the issue might be rectified. This will be documented, signed by all parties and included on your personal file.
- If your behaviour continues or the issue is unresolved, you will be invited for a personal interview with the Training manager to discuss this issue further and to make you aware of our complaints procedure that is available to you. This meeting and its outcomes will be documented, signed by all parties and included on your personal file.
- Should the issue or behaviour continue, you will be provided with a final warning in writing & a time frame in which to rectify the issue. A copy of this letter will be included on your personal file.
- Should the issue or behaviour still continue, training services will be withdrawn and you will be notified in writing that your enrolment has been terminated.

While we hope that these situations do not happen, we are committed to a very transparent process to ensure that all parties are satisfied with the final resolution.

#### **PRIVACY & CONFIDENTIALITY RECORDS ACCESS**

Sherwood Institute of Australia is committed to protecting the privacy of your personal information.

You have the right to see and review your personal and training file at any time provided you organise it with the Training manager.

We have a Privacy Policy and procedure that sets out the way we handle personal information, including the use and disclosure of personal information and rights to access your personal information. We only collect information that is directly relevant to effective service delivery.

Sherwood Institute of Australia will exercise strict control over confidential information. If a third party requires client information we will require your prior written consent prior to the release of any information.

On your enrolment application form, there is a place to sign to say that we can provide information to Government Departments about your enrolment, attendance and performance. We do this as it is required by the Government.

## **DISCRIMINATION AND HARASSMENT**

It doesn't matter how old you are or whether you were born in Australia or overseas - the Equal Opportunity legislation and federal anti-discrimination laws protect your rights. It is against the law for someone to treat you unfairly (discriminate) or harass you (hassle or pick on you) because of your actual or assumed:

- Age
- Carer status
- Disability/impairment
- Gender
- Lawful sexual activity
- Marital status
- Physical features
- Political belief of activity
- Pregnancy
- Race
- Religious belief of activity
- Sexual orientation

It is also against the law for someone to sexually harass you. If you make a complaint (or help someone else make a complaint), it is against the law for someone to harass or victimise you because you have done so. It is also against the law to authorise or assist another person to discriminate or harass someone.

Discrimination in education occurs if a personal characteristic is used when:

- Deciding who will be admitted as a student including refusing to accept a student's application;
- Denying or limiting access to benefits; or
- Any other unfair treatment based on a personal characteristic defined by law.

Sexual harassment is behaviour of a sexual nature that is unwelcome, unasked for and unreturned. If a reasonable person would have foreseen that the behaviour would offend, humiliate (put down) or intimidate (threaten or scare) the other person, then the law classifies this as sexual harassment. Sexual harassment can be physical, verbal or written. It can include words, statements or visuals that are transmitted by paper, phone, fax, e-mail, office intranets, videoconference or any other means of communication.

If any of these things happen to you, or you feel they might be happening to someone else, go speak to your Trainer immediately and tell them about it. If you don't want to speak with your Trainer, then you should go and see the Training manager to get some assistance.

## **SAFETY**

The Work Health and Safety Act is strongly enforced Australia-wide. It means that you cannot be placed at risk through anything that you may be asked to do by Sherwood Institute of Australia. Your trainers and assessors have been specially trained in Sherwood Institute of Australia's safety standards.

Should you be asked to do anything you feel is unsafe:

- Stop.
- Advise the trainer of your worries and do not proceed.
- Stop anyone else with you from doing anything unsafe.

It is the RTO's responsibility to keep you in a safe learning and working environment and he must not allow any work to be done that is unsafe.

We are an alcohol and drugs of abuse free centre: undertaking any part of your study intoxicated or affected by drugs of abuse may result in suspension or termination from the course. If you are caught selling or undertaking any other illegal activity, then you may be reported to the Police for appropriate action.

If you act unsafely, then you may be required to undergo additional training to demonstrate that you understand the safety requirements and are able to comply with them.

**Change of Student Contact details:**

Students must provide correct and accurate personal contact details to Sherwood Institute of Australia (SIA) and advise SIA within 7 working days if there is any change. Student needs to fill this form and submit to SIA office by email or in person.

## **Courses Being Delivered by Sherwood Institute of Australia**

**For the students to complete the course successfully, the students are required to have the following:**

- Basic computer skills
- Access to a computer
- Microsoft Office Suite
- Internet

**Note:** 10 working day cooling off period applies prior to commencement of any course.

## **Course information**

### **BSB50420 - Diploma of Leadership and Management**

#### **Link to the Training.gov.au**

<https://training.gov.au/Training/Details/BSB50420>



#### **DESCRIPTION**

This qualification reflects the role of individuals who apply knowledge, practical skills and experience in leadership and management across a range of enterprise and industry contexts.

Individuals at this level display initiative and judgement in planning, organising, implementing and monitoring their own workload and the workload of others. They use communication skills to support individuals and teams to meet organisational or enterprise requirements.

They may plan, design, apply and evaluate solutions to unpredictable problems, and identify, analyse and synthesise information from a variety of sources.

#### **Licensing/Regulatory Information**

No licensing, legislative or certification requirements apply to this qualification at the time of publication.

#### **ACCREDITATION**

This qualification is nationally recognised under the Australian Qualifications Framework (AQF).

#### **CLIENT GROUPS**

This program is for:

- Domestic Students wanting to transition into a new career in management
- Domestic students who are already pursuing a managerial career
- New entrants who are not currently working in a leadership and management role and new to the industry.

Learners with experience in the relevant industry or education can apply for Recognition of Prior Learning (RPL) and Credit Transfer. Please refer to 'RECOGNITION OF PRIOR LEARNING AND CREDIT TRANSFER' section or contact us.

**Duration:** 52 weeks with term break of 7 weeks.

## COURSE COMMENCEMENT

Please speak to one of our friendly team on (03) 9131 0755 for recent intake date.

### **Amount of Training**

Amount of training may be adjusted depending upon the learner cohort according to their experience and achieved qualifications. For example, learners with significant industry experience or competency already gained in any unit of competency to be delivered in the course, may be eligible for RPL or Credit Transfer. This will shorten the length of the course for students who are granted RPL or Credit Transfer (refer to Recognition of prior learning and Credit transfer section below). Please contact us for further details if required.

**Mode of Delivery:** Classroom-based face-to-face training and assessment.

### **Study Load**

Students are required to attend classroom sessions 20 hours per week for the duration of the Qualification for 45 weeks. On top of Training and assessment, students are expected to spend allocated hours for each unit, to achieve the learning outcome of the unit of competency. This may constitute undertaking self-studies, research, attempting assessment tasks at home. Students will be required to devote the allocated hours. Please speak to your trainer/assessor for further information.

### **Entry Requirements:**

#### **Pre-training Review:**

SIA's policies seek to remove barriers within the learning and assessment processes, and to place individuals with specific needs into an appropriate course.

SIA is responsible for obtaining enrolment details in full (as outlined on the **Enrolment Application Form**) and to ensure that information pertaining to individual learning requirements is provided to participants prior to enrolment. A Pre-Training Review will be done during the application process in accordance with the applicant's provided information. This review relates to each learner's previous education, training and work experience. This review is conducted to determine if there is a need to recognise existing competencies through Recognition of Prior Learning (RPL) and / or Credit for prior studies.

Recognition of Prior Learning or Credit Transfer approval will shorten the length of the course. Please refer to **Pre-Training Review Policy and Procedure**.

#### **Language, Literacy and Numeracy Test (LLN Test):**

Applicants will need to undertake LLN test and demonstrate the required ACSF level for this qualification to gain entry into this qualification. It will be conducted at the same time as the pre-training review.

If the applicant cannot complete the LLN test satisfactorily, they will be provided with support, (within the scope of SIA). If the support required for the applicant does not fall within the scope of SIA, the applicant will be asked to take further Language, literacy and numeracy training e.g. SIA will not charge any referral fees.

There are no specific entry requirements for this course. However, Sherwood Institute has got its own admission requirements:

- Entry into this course requires successful completion of an Australian Year 12 qualification or equivalent. However, selection is not based purely on academic performance. Relevant work experience, work samples and other documentation submitted will also be considered.
- Students will need to undertake pre-training review as well b
- In addition to meeting the academic requirements applicants must demonstrate their competence in literacy and numeracy levels when enrolling into the course. ACSF exit levels 3 are required for enrolment into this course.
- All students must be of the age 18 years or over at the time of the scheduled course commencement.

#### Course fees

AUD 5000.00 (includes tuition fees of \$4750 and application fees of \$250.00)

**Note:** SIA does not accept more than AUD 1,500 at one given time in advance. If fee is more than AUD 1,500, SIA will provide with easy payment arrangements.

#### COURSE STRUCTURE

Total number of units = 12

6 core units

6 elective units

| Code      | Unit Title  | Core/<br>Elective |
|-----------|---|-------------------|
| BSBCMM511 | Communicate with influence                        | C                 |
| BSBCRT511 | Develop critical thinking in others               | C                 |
| BSBLDR523 | Lead and manage effective workplace relationships | C                 |
| BSBOPS502 | Manage business operational plans                 | C                 |
| BSBPEF502 | Develop and use emotional intelligence            | C                 |
| BSBTWK502 | Manage team effectiveness                         | C                 |
| BSBOPS505 | Manage organisational customer service            | E                 |
| BSBOPS504 | Manage business risk                              | E                 |
| BSBTWK503 | Manage meetings                                   | E                 |
| BSBHRM524 | Coordinate workforce plan implementation          | E                 |
| BSBOPS501 | Manage business resources                         | E                 |
| BSBSTR402 | Implement continuous improvement                  | E                 |

#### Assessment methods comprise of

- Theory tasks which contains written Questions, scenarios and case studies.
- Projects
- Simulation, Role play/Observation



### **Re-assessment**

If the result of your Unit Assessment is “Not yet Competent (NYC)”, you will be given an opportunity for reassessment.

Each Student has three (3) attempts to achieve a competent outcome, including two resubmission attempts. You will only work on the component(s) of the Task(s) that were marked “Not Satisfactory”. The re-assessment must be completed within 14 days of assessment feedback given to you by your facilitator/assessor. Please note that SIA will provide two (2) chances for re-assessment at no cost. If you are not able to achieve competency with all of these opportunities, you are required to repeat the unit at your own cost which will also impact on your extension of study period.

### **RESOURCES / MATERIALS**

Apart from Human Resources including training and assessment staff, support staff, following will be provided by SIA.

#### **Learning Resources**

The learning resources provided to students during the training and assessment include but not limited to:

- PowerPoint presentations
- Learner guides

#### **Physical Resources**

##### ***Facilities, Equipment and Learning Resources***

SIA will provide facilities, equipment and all the learning resources required to deliver training and assessment of the unit according to its requirements. SIA will provide training / assessment facility in form of classrooms and simulated environment for training and assessment and all other resources required to deliver the unit of competency in the course.

Students are required to have access to a laptop or computer with the Windows 10 operating system or higher at their own cost, to work on assignments and tasks for self-study. Students must have an active email address for communication and be contactable by phone (mobile or landline) and by mail (postal address).

All students are expected to have access to MS office application such as Microsoft Word, and an email platform at their own cost.

#### **Computer literacy requirements:**

All students enrolling into the program must have basic computer skills. This course may require students to make reports, do graphs and analyse data.

### **PATHWAY FROM THE QUALIFICATION**

After achieving this qualification, Applicants may enrol in BSB60420- Advanced Diploma of Leadership and Management

or any number of specialised advance diploma courses or use this course as a springboard into a university degree.

#### **Employment Pathway**

The qualification is designed for people who wish to work in a leadership and management role or currently working in such roles and want to upskill and this qualification can be utilised in a variety of business environments.

Possible job titles include:

- Business Development Manager
- Human Resources Manager
- Office Manager

Learners who complete a course are reminded at the time of completion, of further opportunities, unless a learning barrier has been identified that would hinder their progression to a higher qualification level.

Please refer to the following source for Pathway and employment outcomes and Job Pathways Charts illustrating potential career pathways within that industry

### **Delivery Location**

Training and assessment will be conducted by Sherwood Institute of Australia (SIA) at Training Centres organised by SIA, and SIA campus (19 Mclochan St MOUNT WAVERLEY VIC 3149).

### **Recognition of Prior Learning**

Recognition of prior learning (RPL) is an assessment process that involves assessment of an individual's relevant prior learning (including formal, informal and non-formal learning) to determine the credit outcomes of an individual application for credit.

(Source: <https://www.aqf.edu.au/sites/aqf/files/rpl-explanation.pdf> )

### **Credit Transfer**

Credit transfer is a process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications.

(Source: <https://www.aqf.edu.au/sites/aqf/files/credit-transfer-explanation.pdf>)

You could be granted RPL or CT full or part qualification based on your existing skills, knowledge and experience. Please contact us to find out if you're a candidate for RPL or CT.

### **Licensing/Regulatory Information**

Not applicable.

### **SIA's responsibilities to the students:**

- Providing Quality Training and Assessment
- Complying with the standards for RTOs 2015.
- Issuing AQF certification, when all the assessment and financial requirements are met by the students.

### **COMPLETION**

Upon successful completion of this course, student will receive a nationally recognised BSB51918 Diploma of Leadership and Management. Students who do not complete all units may be eligible for a Statement of Attainment for partial completion of the BSB51918 Diploma of Leadership and Management.

### **Please note that SIA does not provide any guarantee of:**

- An employment Outcome.
- A learner will successfully complete a training product on its scope of registration; or

- A training product can be completed in a manner which does not meet the requirements of the relevant training package or VET accredited course; or
- A learner will obtain a particular employment outcome.
- Licensing outcome

**Note:** 10 working day cooling off period applies prior to commencement.

#### **FURTHER INFORMATION**

Before enrolment, each learner should ensure s/he meets the following requirements:

- Enrolment Application Form filled in accurately and sent to the SIA.
- Read and understand the complete information available at SIA's website or email your request to [info@sherwood.edu.au](mailto:info@sherwood.edu.au).
- Read and understand all policies and procedures available at SIA's website or email your request to [info@sherwood.edu.au](mailto:info@sherwood.edu.au).
- Provide SIA with their Unique Student Identifier (USI) number. For more information, see <https://www.usi.gov.au/students/create-your-usi>.
- For further details or queries, SIA can be contacted via email or phone.

#### **IMPORTANT INFORMATION**

- If the SIA cancels the course, it will offer a full refund of all paid fees (except the Non- Refundable Application Fee of AUD 250) or offer enrolment into a similar course of study if applicable.
- If SIA closes or ceases to deliver the course, the learner will get the full refund of all paid fees.
- SIA has got the systems in place to make sure that learner is getting quality training during the course. SIA is responsible for compliance and training & assessment of this course and there are no third-party training provider services acquired by SIA.





## **Policies and Procedures for Sherwood Institute of Australia**

## **ACCESS AND EQUITY POLICY AND PROCEDURE**

### **POLICY PURPOSE**

The purpose of this policy is to ensure that Sherwood Institute of Australia (here after known as 'SIA') provides fair and equitable access and opportunity to its student and staff. This policy also includes:

- Opportunities for reasonable adjustments are made to students.
- Students are given equitable access to facilities and services on and off campus.
- Staff members deal with all students fairly by considering the relevant circumstances of the individual. This does not necessary mean that all students will be rates the same. Fairness is considered in the context of relevant circumstances.
- Decisions regarding student's entry to, progression through and completion of the courses are made on case – by – case basis.
- All relevant policies, procedures and forms are accessible to all staff and students working with in the SIA and that these policies and procedures are implemented in a fair way.
- The student admissions process is based on entry requirements of each course. These entry requirements are published on our website and our marketing materials.
- Individuals raising concerns, complaints or grievances are treated with respect and are not discriminated.
- Students can access relevant policies, procedures and form through SIA website and a hard copy can be requested from the SIA via email or .
- Students are also provided with all relevant policies, procedures and forms during enrolment process in the form of 'Student Handbook'.
- Staff can access relevant policies, procedures and form through SIA website and Version Control Software.
- Staffs are inducted in relation to all relevant policies and procedures during their induction process.
- Staffs are updated with any new changes and updates in relevant policies and procedures by staff meeting, emails and memos.

### **SCOPE**

This policy applies to all enrolled students and prospective students in all modes of delivery.

### **LEGISLATION**

Australian federal and state legislation makes it unlawful for organisations to discriminate against people because of their age, gender, race, marital status, sexuality, or physical or intellectual disability.

The following legislation underpins all matters related to access and equity at SIA:

- Anti-Discrimination Act 1977
- Disability Act 2006
- Equal Opportunity Act 2010
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Working with Children Act 2005

## **POLICY**

### *1. Supporting students to succeed*

- SIA acknowledges the diverse background of its students and commits to make its practices as inclusive as possible and not unreasonably prevent its students from accessing learning.
- SIA undertakes to be responsive to the individual needs of students, whether they relate to age, gender, cultural or ethnic background, health, sexuality, employment, location or other personal circumstance, and not unreasonably present barriers to their learning.

### *2. Recruitment, admissions and enrolment*

- Recruitment and admissions processes and policies are free from discrimination and are based on the requirement that students meet pre-requisites for a course. Access and equity issues are considered when setting course entry requirements and prerequisites. Course design and assessment can be flexible to make reasonable adjustments. Teaching and learning documents are non-discriminatory, using inclusive language and examples.

### *3. Student services*

- Students have equal access to learning and assessment materials and support services.

### *4. Academic and learning support*

- Reasonable adjustments can be made to accommodate students needing supplementary academic and learning support. Reasonable adjustments may include:
- Additional academic and learning support, including literacy and numeracy support.
- Alternative methods of assessment where reasonable. Extra time to complete assessments.
- Assessments are designed to be fair, reliable, and consistent. Students are given details on required assessments for each subject at the beginning of each study period. Assessments for subjects delivered online are adapted to flexible delivery.
- Students may appeal assessment decisions through the Complaints, Grievance and Appeals Policy and Procedure.
- Special consideration may apply for extenuating circumstances.



**Support is provided to those with special needs.** Reasonable adjustment is provided to those with a disability or special needs according to individual circumstances. This means providing the appropriate services and/or facilities for student learning and assessment.

Reasonable adjustment may include but is not restricted to:

- educational support
- alternative assessment methods
- learning and assessment aids such as papers in large print or the use of scribes or interpreters
- extra time to complete a course or assessment

Learning support is facilitated for those with basic literacy, numeracy or English language difficulties or other identified areas of learning difficulty.

Special consideration may be granted if through misadventure (e.g. illness, bereavement or personal trauma) a student is prevented from completing an assessment or sitting an examination; or believes that their performance in an assessment event has been affected by the incident.

SIA's premises provide appropriate access to those with a physical disability. Where SIA provides training and assessment at other venues, SIA will ensure to the best of its ability that venues are accessible to people with a disability.

Complaints and appeals are addressed in a fair and equitable manner. Individuals who believe they have been treated unfairly are encouraged to use SIA's student complaints and appeals procedures. SIA will promptly and thoroughly investigate all complaints and appeals in accordance with stated procedures.

Students also have the right to appeal against any decisions as set out in the complaints and appeals procedure.

#### **PROCEDURE:**

**Strategy:** To include questions in all enrolment forms that requests learners to provide details of their background.

**Responsible Official:** Chief Executive Officer, Training manager/Compliance Officer

**Measure:** All enrolment forms assessed for inclusion of appropriate questions.

**Strategy:** Feedback forms to make available opportunities for learners to raise any access issues.

**Responsible Official:** Chief Executive Officer/ Training manager/Compliance Officer

**Measure:** All surveys forms assessed for inclusion of appropriate questions.

**Strategy:** Trainer to assess learner for any LL&N concerns at induction through ensuring learner completes their own enrolment form and other appropriate documentation.

**Responsible Official:** Trainer/ Training manager

**Measure:** Ongoing

**Strategy:** All policies, procedures, and contact information is to be made available to the general public through our internet website.

**Responsible Official:** Compliance Officer/ Training manager

**Measure:** Ongoing

**Strategy:** Any access issues raised by the public are to be addressed immediately to ensure it does not affect the enrolment and training of potential learners.

**Responsible Official:** Chief Executive Officer/ Training manager

**Measure:** Ongoing

**Strategy:** Allow for flexibility (when appropriate) for extensions of time to lodge enrolment forms, assessment tasks and other related forms, in particular for members of identified groups, in order to cater to those with different social and cultural backgrounds.

**Responsible Official:** Chief Executive Officer/ Training manager

**Measure:** Ongoing

**Strategy:** To provide a barrier free environment for learners and stakeholders for all people through offering multiple methods of contact, training and assessing

**Responsible Official:** Chief Executive Officer/ Training manager

**Measure:** Ongoing

## COMPLAINTS AND APPEALS POLICY AND PROCEDURE

### POLICY

Sherwood Institute of Australia (SIA) is committed to ensuring the highest quality support for our students. This policy and procedure supports Standard for Registered Training Organization Standard 6 Clause 6.1 - 6.6 in providing a process for complaints and appeals to be heard and actioned.

### PURPOSE

SIA has a Complaints & Appeals Policy & Procedure to ensure all complaints and appeals are handled as efficiently and effectively as possible. SIA aims to resolve complaints and appeals honestly, fairly and without bias and in an easily accessible manner which is inexpensive to the parties involved using this policy document.

### SCOPE

The policy and procedure applies to all staff, contractors, and other personnel employed with SIA. SIA will provide students with access to a clear and consistent Complaints and Appeals process. Our staff will communicate an individual's rights, the RTO responsibilities and provide acknowledgement of any concerns as they arise. All staff will also ensure that a student does not feel intimidated or victimised for the lodgment of a complaint or appeal. This policy and procedure relates to complaints and appeals related to:

- SIA
- SIA's staff
- Students/Students
- Third parties

The policy and procedure is not implemented where complaints are anonymous.

### DEFINITIONS

**Complaint** can be defined as a person's expression of dissatisfaction with any aspect of SIA's services and activities, including both academic and non-academic matters.

Examples of complaints would be where a member of the public or a student considers that there has been:

- Harassment, bias or unfair discrimination.
- Dissatisfaction about the enrolment, induction/orientation process.
- Dissatisfaction about the quality of education provided.
- Academic issues, including student progress, assessment, curriculum and awards in a VET course of study.
- Unauthorised handling of personal information and access to personal records.
- Failure to provide a service at the right time or to the standard expected of the service.
- Dissatisfaction in answering a query or responding to a request for a service.

- Failure to follow SIA's agreed policy, or procedures.
- Failure to take proper account of relevant matters in coming to a decision.
- Discourteous or dishonest behaviour by a member of staff.

If you are dissatisfied or have concerns about the standard of service, actions or lack of action by SIA or its staff, we have a formal complaints procedure.

**An appeal** is where a member of the public or student seeks a review of the decision made by the SIA. An appeal could relate to:

- Any decisions made in relation to a complaint outcome.
- Any decisions made in relation to a refund application.
- Any decisions made in relation to an academic decision, for example, about admission (or re-enrolment) to study, an assessment, a certificate, progression within a course of study or termination of study, etc.

Our service standard is to contact the complainant within 2 business days to acknowledge in writing receipt of their complaint/appeal.

**Appellant(s)** is/are the person(s) lodging an appeal to the outcome of a complaint or grievance.

**Complainant(s)** is/are the person(s) lodging the complaints or grievance.

**Grievance** is a concern about academic matters, perceived discrimination, a situation, a process, a person or people, a facility or a support service provided by RTO, which the student brings to the attention of the RTO in an informal way, i.e. it is spoken about, not written down.

**Respondent** is/are the person(s) against whom the complaints or grievance has been made.

## **PROCEDURES**

### **General Process**

- The Complaints and Appeals policy & procedure, and forms are made available to all students and other stakeholders by directly contacting SIA, through the SIA's website, and Student handbook.
- Where possible all informal attempts shall be made to resolve the issue (Informal Complaint). This may include advice, discussions, meeting with the student or stakeholder, emails and general mediation in relation to the issue and the student / stakeholder issue.
- Any staff member can be involved in this informal process to resolve issues but once a student has placed a formal complaint / appeal, the following procedures must be followed.
- Any student, potential student, employee or third party may submit a formal complaint to SIA with the reasonable expectation that all complaints will be treated with integrity and privacy. There is no cost for the complaints process unless it is referred to a third party.
- Complainants have the right to access advice and support from independent external agencies/persons at any point of the complaint and appeals process. Use of external services will be at the complainant's costs unless authorised by the Chief Executive Officer (CEO).

- Any person wishing to submit a formal complaint or appeal can do so by completing the Complaints and Appeals Form and state their case providing as many details as possible. This form can be obtained by contacting Administration staff at SIA, or through the SIA website.
  - As per policy, complaints are to be made in writing by the complainant.
  - SIA should review all complaints upon receipt.
  - Acknowledge receipt of complaint in writing by sending a letter to complainant or email.
  - Record details of the complaint on the Complaints and Appeals Register.
- Once a complaint or appeal is received and checked for, it should be forwarded to the appropriate personnel for review.
- There will be no charge to the complainant or appellant for the lodgement or presentation of their case. Incidental expenses for attending SIA offices to lodge the document or attend a meeting or any charges incurred (e.g. telephone) will NOT be reimbursed.
- All complainants and appellants must be given the opportunity to formally present their case and to be accompanied by a friend or third party to support them (and if language is an issue, to help them present their case). Any payments to accompany the friend/third party will be made by complainants or appellants.
- The Review Personnel may gather evidence and constitute a review committee as they see fit.
- This process must be commenced within 10 working days of the lodgement of the complaint or appeal (and receipt of all supporting evidence) and should be completed within a reasonable time period, usually 10- 15 working days.
- If further evidence is requested, then the Review Personnel must communicate with the complainant or appellant as soon as possible and within 5 working days of asking for evidence, it should be submitted.
- The process will be put on hold until the evidence is received.
- The decision will be advised in the written response to the complainant or appellant.
- In case of complaint, if the complainant is not happy with the decision they may appeal. That appeal is on the fairness and objectivity of the decision.
- A template for a formal written response has been developed for when the complaint is accepted or rejected. This also includes the complainant's right to access the Internal Appeals process.
- A template for a formal written response has been developed for when the appeal is accepted or rejected. This includes the appellant's right to access the External Appeal process.
- All documentation relating to a formal complaint or appeal MUST be recorded on the student file, in case of student. This must include the initial form, supporting evidence, meeting minutes, copy of correspondence with all concerned parties. This information will be kept confidently and stored securely for 7 years.
- Documentation of all complaints and appeals and their outcomes is securely maintained. Potential causes of complaints and appeals are identified and SIA takes appropriate corrective actions to eliminate or mitigate the likelihood of reoccurrence.
- All formal complaints or appeals must be logged in the Complaints and Appeals Register.
- A complaint or appeal is a learning opportunity for SIA. The outcome will be seen as an input to the continuous improvement process. Any decisions that support students will be immediately implemented.

## Detailed Process

Complaints may be made in relation to any of SIA's services and activities such as:

- The application and enrolment process
- Marketing information
- The quality of training and assessment provided
- Training and assessment matters, including course progress, student support and assessment requirements
- Student amenities and facilities
- Discrimination
- Sexual harassment
- The way someone has been treated
- The actions of another student
- Other issues that may arise

Appeals should be made to request that a decision made by SIA has to be reviewed. Decisions may have been about:

- Course admissions
- Refund assessments
- Response to a complaint
- Assessment outcomes / results
- Other general decisions made by SIA

SIA is committed to developing a procedurally fair complaints and appeals process that is carried out free from bias, following the principles of natural justice. Through this policy and procedure, SIA ensures that complaints and appeals:

- Are responded to in a consistent and transparent manner.
- Are responded to promptly, objectively, with sensitivity and confidentiality.
- Are able to be made at no cost to the individual.
- Are used as an opportunity to identify potential causes of the complaint or appeal and take actions to prevent the issues from recurring as well as identifying any areas for improvement.
- 

Where possible, all informal attempts shall be made to resolve the issue (Informal Complaint). This may include advice, discussions, meeting with the complainant, emails and general mediation in relation to the issue. Any staff member can be involved in this informal process to resolve issues, but once a complainant has placed a formal complaint / appeal, the following procedures must be followed.

If a complainant is uncomfortable in speaking directly to the person involved or the informal process does not resolve the issue to the complainant's satisfaction, the formal process should be followed as described later on in the document.

Where a student is unhappy with the outcome of an assessment decision, this will be dealt with under internal appeals. Please refer to Assessment appeals points in the Appeals section.

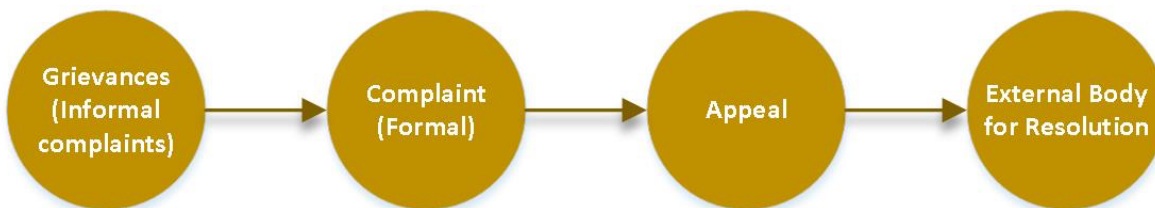
SIA reduce complaints through:

- providing excellent ongoing service
- addressing complaints quickly and fairly
- making sure similar kind of complaint/incident does not occur again

When a complainant has a genuine complaint, SIA may:

- thank them for raising the matter
- treat them with genuine empathy, courtesy, patience, honesty and fairness
- respond to the complaint quickly
- tell the complainant how SIA will handle it and when to expect a response
- speak to the complainant in person

Diagram of the Different Steps/ Procedures in the complaints management process:



### ***Informal Complaint***

- Students / potential students / stakeholders are encouraged, wherever possible, to resolve grievances directly with the person(s) concerned. For example: if the issue concerns an academic matter, the complainant should talk honestly to the trainer through Student Support Staff about his/her concerns. Issues about fees should be discussed in the first instance with the Accounts Department through Student Support.
- Any student with a question or complaint may raise the matter with SIA Student Support staff and attempt an informal resolution of the question or complaint. This can be done online, or by telephonic conversation. In some cases, face-to-face will also be accepted.
- Questions or complaints dealt within this way do not become part of the formal complaint process and will not be formally documented, recorded or reported on unless the staff member involved determines that the issue, question or complaint was relevant to the wider operation of SIA.
- If the student / potential student / stakeholder has attempted to resolve the issue directly, but is not satisfied with the outcome or does not wish to approach the person(s) concerned directly, then he/she

may discuss the issue with the Compliance Manager. In case of face-to-face meeting, he/she may be accompanied or assisted by a support person during this process.

- The Compliance Manager will consider the issue and may either suggest a course of action to resolve the issue, or attempt to mediate between the complainant and the person(s) concerned.
- Within ten (10) days of receiving the grievance, the Compliance Manager will provide the complainant and any other person(s) directly concerned, with a written report summarising the actions that were taken, or will be taken, to resolve the issue.
- If the complainant is not satisfied with the outcome, a formal complaint can be lodged under this policy.

### ***Formal Complaint***

- Students or any other stakeholders who are not satisfied with the outcome of the informal process, or, who want to register a formal complaint may do so.
- To register a formal complaint, a student must complete the Complaints and Appeals Form and contact the Student Support Staff to arrange a meeting with Compliance Manager, if required (a nominated person if Compliance Manager is not present for the particular case). It is better to provide as many details as possible.
- Once a formal complaint is received it will be entered into the Complaints and Appeals Register and written acknowledgment will send to complainant. The information to be contained and updated within the register is as follows:
  - The name of the complainant
  - Date of the complaint
  - Type of complaint
  - Name of investigating officer / department assigned to deal with the complaint
  - Response from those involved in the allegations
  - Analysis of the matter
  - Outcome of complaint
  - Action recommended to address systemic issues (if any)
  - Time taken to investigate complaint
  - Complainant satisfaction with the outcome.
- There is no cost for the complaints process unless it is referred to a third party.
- Complainants have the right to access advice, support, assistance or company from independent external agencies/persons at any point of the complaint and appeals process. Use of external services will be at the complainant's costs unless authorised by the CEO.
- At the stage of the complaint meeting (if required), the complaint must be recorded in writing and signed and dated. The complaint is recorded in writing by completing the Complaints and Appeals Form prior to the meeting or a new document can be prepared and signed during the meeting.
- The Compliance Manager will then refer the matter to the appropriate staff members to resolve, or make a decision on the complaint within 10 working days and keep the complainant informed of any decisions or outcomes concluded, or processes in place to deal with the complaint.



- Where a decision is expected to take longer than 60 days, SIA will advise the student in writing of the delay and including the reasons for the delay. Thereafter the student will be provided with weekly updates in writing of the progress of the complaint.
- Weekly updates to both complainant and appellant will be provided by the Compliance Manager.
- If decision is taking more than 60 days, matter can be forwarded to an external complaints resolution organisation as well for resolution.
- At the end of the resolution phase, the Student Support Staff will report SIA decision to the complainant in writing. The decision and reasons for the decision will be documented by the Compliance department and will update the records accordingly.
- Following the resolution phase, SIA must implement the decision as conveyed to the complainant. SIA will immediately implement any decision and/or corrective and preventative actions that are required.
- Where the formal complaint process does not find in favour of the complainant, s/he will be notified that they have the right of appeal. He/she may institute an internal appeals process by completing the Complaints and Appeals Form.
- To appeal a decision, SIA must receive, in writing, grounds of the appeal within 10 days of the date of the notice of the decision.
- Copies of all documentation, outcomes and further action required will be placed on the Complaints and Appeals Register by the Compliance Manager or representative and also in the student's file, in case of student as complainant
- We will ensure that the investigation process is impartial and encompasses the Principles of Natural Justice. No assumptions will be made nor any action be taken until all relevant information has been collected and considered.
- There will be no victimisation against anyone who makes a complaint.
- Nothing in this procedure inhibits complainant's rights to pursue other legal remedies. Complainants are entitled to resolve any dispute by exercising their rights to other legal remedies. Complainants wishing to take this course of action are advised to:
  - Contact a solicitor; or
  - Contact the Law Institute of Victoria, 470 Bourke St., Melbourne 3000, and telephone 03 9602 5000 for a referral to a solicitor.

### ***Internal Appeals***

- All students and stakeholders have the right to appeal decisions made by SIA where reasonable grounds can be established. The areas in which a student or stakeholder may appeal a decision made by SIA may include:
  - Any other conclusion/decision that is made after a complaint has been dealt with SIA in the first instance as described in the complaints process above. This is referred to as general appeals and internal appeals).
  - Assessments decisions as set out below (assessment appeals).
- To activate the appeals process, the appellant must complete a Complaints and Appeals Form that is to include a summary of the grounds the appeal is based upon. The reason the appellant feels the decision is unfair, is to be clearly explained and help and support with this process can be gained from SIA staff.

- Where an appellant has appealed a decision or outcome of a formal complaint, s/he is required to notify SIA in writing within 10 working days, of the grounds of her/his appeal. Any supporting documentation should also be attached to the appeal.
- A SIA representative must record the details in the Complaints and Appeals Register.
- The process for all formally lodged appeals will begin within 10 working days of the appeal being lodged in writing.
- The Compliance Manager or a nominee appointed by Compliance Manager will be notified and will seek details regarding the initial documentation of the appeal and make a decision based on the grounds of the appeal.
- The appellant will be notified in writing of the outcome with reasons for the decisions, and the Complaints and Appeals Register updated. Particularly the appellant will also be provided the option of activating the external appeals process if they are not satisfied with the outcome. The appellant is required to notify RTO if they wish to proceed with the external appeals process.
- Compliance Manager ensures SIA acts on any substantiated appeal. Compliance Manager determines the validity of the appeal and organises a meeting with all parties involved in the matter and attempts to seek resolution where appropriate.
- Where students wish to appeal an assessment or RPL, they are required to notify their Trainer / Assessor in the first instance. Where appropriate their Assessor may decide to re-assess the student to ensure a fair and equitable decision is gained. The Assessor shall complete a written report regarding the re-assessment outlining the reasons why re-assessment was - or was not - granted.
- If this is still not to the student's satisfaction, the student may formally lodge an appeal. They will lodge this with the Compliance Manager or a nominee appointed by the Compliance Manager and the appeal will be entered in the Complaints and Appeals Register.
- The Compliance Manager will be notified and will seek details from the Assessor involved and any other relevant parties. A decision will be made regarding the appeal either indicating the assessment decision stands or details of a possible re-assessment by a third party. The third party will be another Trainer/Assessor appointed by SIA.
- The student will be notified in writing of the outcome with reasons for the decision, and the Complaints and Appeals Register will be updated. The student will also be provided the option of activating the external appeals process if they are not satisfied with the outcome. The student is required to notify SIA if they wish to proceed with the external appeals process.
- We recognise the right of individuals to approach an external agency if the formal complaint or internal appeal has not resolved the issue to their satisfaction.
- The student's enrolment must be maintained whilst an appeal is in progress and the outcome has not been determined.
- A maximum time of 30 calendar days from the commencement of the appeal resolution phase will be allowed for the appeal resolution unless all parties agree in writing to extend this time.

### ***External Appeals***

- If not satisfied with the internal appeal processes, the complainant / appellant may request that the matter be further reviewed by an external dispute resolution process, by the body appointed by SIA for that purpose.
- The details of these external bodies are as follows:

Resolution Institute, previously as LEADR and IAMA, has been accrediting mediators since the mid-1990s. <https://www.resolution.institute/>

Or

The Dispute Settlement Centre of Victoria (DSCV)

Dispute Assessment Officer

Level 4, 456 Lonsdale Street

Melbourne VIC 3000 Tel: 9603 8370 <http://www.disputes.vic.gov.au>

- The division of the expenses associated with the mediation e.g. mediator's fee, room hire and possibly travel expenses are to be shared equally between SIA and the complainant / appellant.
- You can also contact the Victorian Civil and Administrative Tribunal (VCAT), [www.vcat.vic.gov.au](http://www.vcat.vic.gov.au).
- SIA will immediately implement recommendations arising from the external review within at least 10 working days of the receipt of the recommendations.
- If a student or stakeholder are still dissatisfied with the decision of SIA, they may wish to seek advice or make a complaint about SIA to ASQA directly. If, after SIA's internal complaints and appeals processes have been completed, and they still believe SIA is breaching or has breached its legal requirements, they can submit a complaint to ASQA by completing the "The Complaint about a training organisation operating under ASQA's jurisdiction" form. While ASQA will not be able to act as their advocate, the lodgement of their complaint will inform ASQA's risk assessment of SIA and a complaint audit may be conducted.

- **Contact details for ASQA are:**

Australian Skills Quality Authority

- Melbourne - Level 6, 595 Collins Street

- Brisbane - Level 7, 215 Adelaide Street

- Sydney - Level 10, 255 Elizabeth Street

- Canberra - Ground Floor, 64 Northbourne Avenue

- Perth - Level 11, 250 St Georges Terrace

- Adelaide - Level 5, 115 Grenfell Street

- Hobart - Level 11, 188 Collins Street

Telephone: 1300 701 801

Email: [complaintsteam@asqa.gov.au](mailto:complaintsteam@asqa.gov.au)

Website: [www.asqa.gov.au](http://www.asqa.gov.au)

## **PRINCIPLES OF NATURAL JUSTICE AND PROCEDURAL FAIRNESS**

- SIA Staff may also use this complaints and appeals process. SIA will use all complaints as an opportunity for continuous improvement.
- All parties to a complaint or appeal have the opportunity to put their case and have this properly considered.
- Any allegation against a SIA staff member or member of a subcontractor party is made known to that person and SIA will provide an opportunity to present their side of the matter.
- Investigations and decisions are made by persons who do not exercise bias.
- A complainant/appellant should feel confident that they will not suffer any discrimination as a result of using the complaint or appeal process.
- Confidentiality shall be maintained to the extent of the people that need to be directly involved in the complaint or appeal process.
- All the information regarding this policy can also be found:
  - On the SIA website;
  - In the Student Handbook;
  - In the Staff Handbook.
- The complainant / appellant can be supported or accompanied by an independent person or friend during the complaints and appeals process.
- It is normal SIA policy that whilst a student is going through any formal complaint or appeals process, the student remains enrolled at SIA and continues their studies and assessments in the normal way. It should be noted that if the complaint or appeal has resulted in the student being suspended or excluded due to a breach of the Student Code of Conduct, then the suspension or exclusion shall continue until either it has expired or the result of the complaint or appeal is decided in the student's favour.
- SIA has a fair and transparent informal and formal complaints and appeals process, but should the complainant / appellant require it, access is available to an independent mediator who can review the complaint and/or appeals process.

NOTE: If the outcome is in the appellant's favour then SIA will implement any changes recommended by the adjudicator immediately and advise the appellant of the outcome and actions taken.

## **Responsibilities**

- CEO has overall responsibility for this policy.
- Compliance Officer conducting investigation into all formal complaints.
- Student Support Staff will assist stakeholders at every phase, as required.





**Pre-enrolment  
Process for  
BSB50420**

When a student expresses his/her interest to enrol into the course, via phone call, email or filling the enrolment application form and paying the non-refundable enrolment application fees. As part of the process, students will be required to submit the enrolment application form along with the copy of passport/ driving license Medicare card or proof of residency and other documents related to entry requirements.

Once the expression of interest is received SIA makes sure that student is provided with all the related information to make sure that informed decision is made by the student.

Prior to enrolment, prospective students are directed to a range of specific information, found on the SIA website. The information is designed to assist the prospective student to make informed decisions regarding SIA, their chosen qualification, along with the options of training and assessment available to them through SIA.

This information includes, but is not limited to:

- SIA Student Handbook.
- A Pre-enrolment letter that will be sent via email to a prospective Student when they apply/express interest in the course, which will be having the following information:
  - Details and permission for SIA to apply for a Unique Student Identifier (USI) number
  - Costs and payment options
  - Learning Literacy and Numeracy (LLN) levels required to enroll in the qualification
  - Duration
  - The potential student is also to agree that he/she has read the terms and conditions provided by SIA and he/she agrees that all work provided will be their own work, at the end of every task.
- Verbal information by SIA Staff with directions to and within the SIA website to confirm the correct information,

- Individual qualification link detailing the specific information of the qualification and its offerings, pricing and pre-requisites, and entry requirements.
- Information as contained in the Training and Assessment Strategy.

As part of the pre- enrolment process, the students will be required to undertake LLN test and ACSF level 3 is required in reading, writing, learning, oral communication, and numeracy.

**Language, literacy and numeracy (LLN):**

Language, literacy and numeracy (LLN) has been designed to describe variations in arrangements for our clients who have specific language, literacy and numeracy needs and the support services available to these persons.

In essence, the policy seeks to remove barriers within learning and assessment processes and practices which place individuals with specific needs in LLN at a disadvantage. Clients with special needs in the areas of LLN will have access to assistance and support to fulfil their training needs.

Should issues with learning because of LLN difficulties, or because client may not have English as their first language, SIA will discuss this with the individual and refer them for additional training, if required.

SIA will conduct an LLN test during the pre-enrolment process. Any adjustments to the learners training is to be completed once LLN assessment has been completed.

SIA recognises the importance of adequate skills in LLN. Improving literacy skills will assist in ensuring education is available to all. SIA is responsible for obtaining enrolment details in full, as outlined on the **Enrolment Application Form** and ensure that information pertaining to individual learning requirements is provided to participants prior to enrolment for vocational education and training.



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|  | <p>SIA will provide guidelines for the identification of any participant guidance or support required for any learner in LLN. SIA follows Australian Core Skills Framework (ACSF).</p> <p><b>Required ACSF level</b><br/>ACSF level 3 is required in reading, writing, learning, oral communication, and numeracy.</p> <p><b>Needs Identification</b><br/>Identification of training needs is to be based on the English language literacy and numeracy competencies, which are needed to participate effectively in SIA's training programs. SIA will endeavour to obtain LLN information during the enrolment process. Although the participant's individual needs may not be identified until after the course has commenced.</p> <p>Where support needs to go beyond what can be met with reasonable adjustment during the training and assessment process, and additional support is required, SIA will refer to other providers.</p> <p>Note: Learners who are identified as requiring language, literacy or numeracy support after the LLN test will be counselled on their needs and how SIA can assist them to improve their skills and support them in achieving the course outcomes.</p> <p><b>Learner not able to demonstrate ACSF level 3</b><br/>If a learner has been assessed as not suitable to commence in the course of study then the following educational and learning support services will be available to learners, but not limited to:</p> <ul style="list-style-type: none"> <li>• Bilingual staff support</li> <li>• Ongoing study support</li> <li>• language, literacy and numeracy (LLN) programs or referrals to these programs;</li> <li>• flexible scheduling and delivery of training and assessment;</li> <li>• information and communications technology (ICT) support;</li> <li>• learning materials in alternative formats, for example, in large print;</li> </ul> |
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|  | <ul style="list-style-type: none"> <li>• learning and assessment programs contextualised to the relevant industry; and</li> <li>• any other services that SIA considers necessary to support learners to achieve competency.</li> </ul> <p><b>Equal Access</b></p> <p>Access to SIA's training programs is equal for all participants. SIA does not discriminate against the participants whose needs are identified under the standards of LLN with regard to enrolment in any current or future training programs.</p> <p><b>Pre-training Review:</b> SIA's policies seek to remove barriers within learning and assessment processes and practices, which place individuals with specific needs and appropriateness of course for applicant.</p> <p>SIA is responsible for obtaining enrolment details in full, as outlined on the <b>Enrolment Application Form</b> and ensure that information pertaining to individual learning requirements is provided to participants prior to enrolment for vocational education and training. Pre-Training Review will be done as part of the pre-enrolment process in accordance with the applicant's provided information. This review consists of information related to each learner's previous education, training and work experience.</p> <p>SIA representative (SIA) will be going through all the application and other submitted documents.</p> <p>This review will also help SIA to identify if there is a need to recognise existing competencies through Recognition of Prior Learning (RPL) and / or Credit for prior studies.</p> <p>Recognition of Prior Learning or Credit Transfer approval will shorten the length of the course accordingly. Please refer to <b>Pre-Training Review Policy and Procedure</b>.</p> <p>The outcome of the pre-enrolment will decide if the student meets all the requirements needed to gain entry into the course. The student will be communicated the outcome of this process within two working days.</p> |
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|                  |  |
|------------------|--|
|                  | <p>This pre-enrolment process will help SIA and the prospective students to make sure that each student is making an informed decision.</p>  |
| <b>Enrolment</b> | <p>Once the student meets all the entry requirements and pre-enrolment requirements, the student is enrolled into the course.</p> <p><b>Orientation and Induction</b><br/>On the successful completion of pre-enrolment tasks, Orientation and Induction will be conducted. Upon successful outcome of pre-enrolment processing, SIA will confirm the enrolment and will provide the following documents on the same day</p> <ul style="list-style-type: none"> <li>• <b>Confirmation of Enrolment</b></li> <li>• <b>USI factsheet,</b></li> <li>• <b>Copy of Policies and Procedures or the link to the policies and procedures/Student handbook</b></li> <li>• <b>Tax invoice</b> and the <b>Receipt</b> of the payment to the SIA.</li> <li>• <b>Proposed Training plan</b></li> </ul> <p><b>Training/Assessment Commencement</b><br/>The student must attend the training sessions as per the <b>Training plan</b> provided to them on the day of orientation and Induction.</p> |

#### Step 4: Orientation and Induction

## **Fees and Refund POLICY AND PROCEDURE**

### **POLICY**

This policy/procedure provides all staff and students information on the process for determining fees and charges for all courses provided. SIA will ensure that it maintains sound financial practices, ensuring the financial security of the RTO and enabling its ongoing viability, profitability and growth. Conservatism will prevail as the key influence over financial decisions. Equally, an uncompromising commitment to integrity and professionalism will remain the keystone to all finance, banking, investment and general business transactions.

The following principles underpin this policy.

#### **Financial Management**

- SIA aims to maintain a sound financial position, which facilitates its stability, planned business growth and profit projections through
- SIA business planning, including forecast income and expenditure;
- SIA monitoring Cash flow;
- Formulation of and adherence to annual budgets;
- Ongoing reinvestment in the business to ensure it remains well-resourced to meet client needs;
- Maintenance of adequate cash reserves to meet planned commitments, as well as unforeseen events;
- Striving to remain debt free as part of its overall strategy of optimising return on investment and consequently maintaining price competitiveness;
- Careful safeguarding of assets, via comprehensive insurance and security measures

### **PURPOSE**

Sherwood Institute of Australia (SIA) is committed to establishing a long term presence in the vocational education and training sector, as a provider of quality training and assessment services. A key factor in attaining this aim is the ongoing financial stability and wellbeing of SIA, resulting from careful, responsible and hands-on financial management, aligned to the business goals, the nature of its operations and the nuances of the market in which it competes

This policy ensures that SIA uses efficient financial management practices and systems complying with the Standards for Registered Training Organisations (SRTOs) 2015.

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### **SCOPE**

This policy and procedure include implementing the fee management mechanisms as outlined below. This policy applies to SIA management staff.

#### **Responsibilities**

The CEO is responsible for:

- Ensuring compliance with financial management policies, procedures and systems.
- Ensuring compliance with Financial Viability Risk Assessment Requirements 2011.

- Monitoring and reporting on compliance with these financial management policies and procedures.
- Undertaking reviews of the effectiveness of the policies, procedures and systems annually and to use the results of such reviews to drive further improvements.
- When requested, provide VET Registration body with a formal assurance that has sound financial management standards for matters relating to the Scope of Registration and scale of operations.

### **Definitions**

The following words and expressions have the following specific meaning, as in the SRTOs 2015.

- **Financial Viability Risk Assessment Requirements means** the requirements made under section 158 of the National Vocational Education and Training Regulator Act 2011 or equivalent requirements made or adopted by the VET Regulator of a non-referring State as the case requires.
- **Registration means** registration as an RTO by the VET Regulator, where that registration is then entered on the National Register.
- **Scope of registration means** the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
- **both provide training delivery and assessment** resulting in the issuance of AQF certification documentation by the RTO; or
- **provide assessment resulting** in the issuance of AQF certification documentation by the RTO.
- 'Provider Default' is where the registered provider fails to provide a course or ceases to provide a course to the student.
- 'Student Default' where a student does not start a course or withdraws from a course.

### **PROVIDER DEFAULT**

In the cases below a full refund will be provided to students within 2 weeks of the course default date:

- The course does not commence on the agreed start date, or
- The course ceases to be provided at any time after it starts but before it is completed, or
- The course is not provided in full to the student because a sanction has been imposed on the registered provider. SIA needs to postpone a course for any reason every effort will be made to reschedule the course within the following two months.

In the event that SIA is unable to deliver the course in full, the student will be offered a refund of all the course fees the student has paid to date. The refund will be paid to the student within 2 weeks of the default date. Alternatively, the student may be offered enrolment in an alternative course at SIA at no extra cost to the student than the total cost as advertised or given in the student's offer letter. The student has the right to choose whether to take a full refund of course fees or to accept a place in another course. If the student chooses placement in another course, SIA will ask the student to sign a document to indicate acceptance of the placement.

### **STUDENT DEFAULT**

In the circumstances below there will be no refund of any fees paid.

- Students are not permitted to transfer course fees to another student, or
- The course starts on the agreed starting day, but the student does not start the course on that day (and has not previously withdrawn), or

- The student failed to pay an amount he or she was liable to pay to the provider in order to undertake the course.

**VET Regulator means:**

- the National VET Regulator; and
- a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

**Financial Viability Risk Assessment Requirements**

**Intent**

- The VET Regulator can request to demonstrate its financial viability at any point in time.
- The assessment of the 'Financial Viability' by the VET Regulator is directed evaluating the likelihood of business continuity, and its capacity to achieve quality outcomes. The assessment informs a judgement about whether has the financial resources necessary to:
- Acquire the requisite assets and physical resources to deliver all qualifications on its scope of registration;
- Employ sufficient appropriately qualified staff to cover the courses for which it takes enrolments;
- Provide appropriate levels of student services to students;
- Remain in business to ensure that each student can achieve completion;
- Meet the above requirements even in an unsure environment.

**Obligation to submit assessment**

- SIA must submit an assessment of financial viability risk by a qualified independent financial auditor nominated by the VET Regulator at any time during the registration period.
- The obligation to submit also applies to parent organisations, affiliated companies or organisations that have a vested interest in the organisation.

**Indicators for Assessment**

The assessment will be undertaken by assessing common indicators of financial performance and position. These may include, but are not limited to :

- Liquidity – including current ratio and cash flow assessments;
- Solvency – including debt to assets assessment, debt to equity assessment;
- Economic Dependency (e.g. reliance upon government funding or a particular cohort of clients);
- Revenue, profit and cash flow;
- Commercial risk'
- Audit opinion;
- Contingencies;
- Compliance with all statutory obligations(e.g. GST, taxation, superannuation)
- Compliance with accounting standards;
- Accounting policies – impact of organisation accounting policies on its financial risk.

**Information to be assessed**

Information that could be used to assess the common indicators may include, but are not limited to:

- Independent review of financial projections, including underlying assumptions;
- Business planning, including forecast income streams and forecast expenditure;

- Assets and liabilities;
- Financial statements audited by an independent qualified auditor;
- Financial records for the previous 12 months, including profit and loss, balance sheets;
- Cash flow and bank accounts;
- Short term budgets and forecasts, including assumptions;
- Information on current and projected student enrolments, including assumptions;
- Tax records;
- Information about current debts and debtors, credit and creditors, loans and repayments;
- Plans, and information on any legal disputes;
- Inter-company dealings, transfers, ownerships and loans;
- Contingent liabilities;
- Ultimate ownership details;
- Post reporting activities.

## **PROCEDURE**

All fees are to be confirmed prior to enrolment and the commencement of training. The amount to be charged for training and assessment services will be determined by the CEO and this will be consistently documented through all marketing materials and enrolment documentation (Enrolment Form).

Students will be informed of the amount of the course on enrolment and required to pay their course fees/deposit to confirm their enrolment. The collection of the student fees will be documented by Administration in the Student File.

Student fees are protected by the SIA fair and reasonable refund policy and procedure which is provided to students prior to enrolment.

## **COURSE FEES**

- SIA will strive to maintain highly competitive fair and reasonable fee structures, outlining these in a “statement of Fees”.
- SIA adjusts its fees and charges from time to time. Changes to fees will be fairly and equitably applied, advertised and clearly indicate the date from which the change will take effect.
- SIA provides details of course fees in all course information.
- Course fees may be negotiated with individual clients, as approved by CEO.
- The CEO may discount or waive course fees (for example in cases of severe financial hardship) at their discretion.
- Confidentiality regarding fee arrangements is expected from clients.
- SIA will ensure these fees are applied and communicated to clients at the time of enrolment.
- SIA charges AUD 250.00 for the enrolment application fees which is non-refundable.
- Payment of no more than \$1,500 from each individual student prior to the commencement of the course.
- Regarding payment plans - Monies for an individual client will not exceed \$1500 at any given time.
- In accordance with the Standards for RTOs 2015, SIA adopts the following to protect fees paid in advance:
  - Flexible payment arrangements/ options will accommodate individual circumstances.
  - Fees must be paid in full before certification will be issued

- SIA reserves the right to suspend the clients learning or assessment (or both) until all fee payments are up-to-date, in the event payment instalment arrangements become overdue and remain unpaid for a period in excess of 14 days.
- Acceptable payment options can be made via credit card, direct debit, and EFT remittance to accommodate the diverse financial situations of clients.

#### **Payment terms**

- AUD1500 Deposit – Invoiced prior to commencement due on commencement of training.
- \$500 invoiced every 30 days for remaining months balance outstanding on completion of the training.

NOTE: 10 working day cooling off period applies prior to commencement

#### **Current fees and charges**

SIA currently charges is as follows:

| Course Code | Course Name                          | Tuition Fees | Application Fees |
|-------------|--------------------------------------|--------------|------------------|
| BSB50420    | Diploma of Leadership and Management | \$4750       | 250.00           |

#### **Other Fees:**

SIA charges AUD 250.00 for the Enrolment Application Fees, which is non-refundable.

**Reassessment:** Please note, learners are granted with 3 attempts for a successful assessment outcome. Where learners are unable to achieve competency after 3 attempts, they may be required to re-enrol in that unit/s and undertake further training.

SIA does not charge any other fees.

#### **Refunds**

Applies refunds in accordance with the Refund Policy.

#### **Asset Management**

Acquisitions of assets are in accordance with strategic planning, training and assessment strategies and budgetary considerations.

Projected budget for asset acquisition will be included in annual strategic planning and the overall viability review for individual projects.

#### **Access & Equity**

The Access & Equity Policy applies. (See Access & Equity Policy)



**Records Management**

All documentation from financial management processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

**Monitoring and Improvement**

All Financial Management practices are monitored by the CEO and subject to ongoing review during monthly Financial Review meetings. Areas for improvement identified and acted upon.

**PROCEDURE for REFUND*****For full fee paying students***

If during the pre training review, it is identified that the work place has not got the required resources to conduct the training and assessment, SIA will offer the alternative workplace and if the student is not happy to continue at the SIA's workplace, SIA will do the refund of all the money.

If the student is unable to commence, a refund of 90% of the full fees will be forwarded to the student if 7 or more days' notice is given to SIA. Less than 7 days' notice student will get 50% refund of the fees.

***PROVIDER DEFAULT***

In the cases below a full refund will be provided to students within 2 weeks of the course default date:

- The course does not commence on the agreed start date, or
- The course ceases to be provided at any time after it starts but before it is completed, or
- The course is not provided in full to the student because a sanction has been imposed on the registered provider. SIA needs to postpone a course for any reason every effort will be made to reschedule the course within the following two months.

In the event that SIA is unable to deliver the course in full, the student will be offered a refund of all the course fees the student has paid to date. The refund will be paid to the student within 2 weeks of the default date. Alternatively, the student may be offered enrolment in an alternative course at SIA at no extra cost to the student than the total cost as advertised or given in the student's offer letter. The student has the right to choose whether to take a full refund of course fees or to accept a place in another course. If the student chooses placement in another course, SIA will ask the student to sign a document to indicate acceptance of the placement.

***STUDENT DEFAULT***

In the circumstances below there will be no refund of any fees paid.

- Students are not permitted to transfer course fees to another student, or
- The course starts on the agreed starting day, but the student does not start the course on that day (and has not previously withdrawn), or
- The student failed to pay an amount he or she was liable to pay to the provider in order to undertake the course.

*In order to access refunds under the circumstances mentioned above, students must:*

- Refund request must be made on the Refund Request Form. This must be signed by the student.
- Fill out and submit the Refund Request Form by means of:
  - Emailing a signed form to **info@sherwood.edu.au**
  - Or
  - Posting directly it to our Campus Address.
- Assessment on the request will be conducted and SIA will recommend promptly of the Refund outcome.
- If refund is applicable, the student will get a payment receipt.
- If the refund is not granted, then the student will be notified with a letter on the reasons for the outcome.
- If student is not satisfied on the result, the student can access our Complaints and Appeals form via our website.

## PLAGIARISM AND ACADEMIC MISCONDUCT POLICY AND PROCEDURE

### SCOPE

This policy applies to all:

- Staff of SIA
- Past, current and perspective learners of SIA

### REFERENCE

Standards for Registered Training Organisations 2015 (Standard 1).

### DEFINITIONS

**Academic Misconduct** is defined as any action(s) or behaviour likely to result in an unfair academic advantage, whether by unfairly advantaging a learner or disadvantaging another. Acts of academic misconduct include, but are not limited to:

- possession of unauthorised material before, during or after an assessment or exam
- refusing to observe the instructions during the assessment process
- sharing or publishing assignment materials
- collusion with another learner
- learner substitution
- plagiarism
- cheating

**Plagiarism** refers to attempts by learners to use the work, words or ideas of others without proper acknowledgement. In the context of assessment, plagiarism occurs if a learner;

- presents any phrase or extracts, word for word without using quotation marks or referencing the author
- paraphrases all or part of an author's work and presents it without referencing the author, or providing
- inadequate reference to the author
- copies or paraphrases all or part of another learner's work and presents it as their own
- presents all or part of an assessment item previously submitted for assessment in another course or unit of work.

**Collusion** is an agreement or cooperation in order to cheat or deceive for a fraudulent purpose. Collusion can apply to learners (past or present) who intentionally cooperate to gain an unfair advantage towards

the achievement of a qualification, statement of attainment or credit towards these. Collusion also refers to the following practices which are not considered allowable;

- unauthorised and unacknowledged joint effort in an assessment
- unauthorised and unacknowledged copying of material prepared by another person for use in an assessment
- unauthorised and unacknowledged assistance from another person.

**Non-academic Misconduct** is any action or conduct by learners relating to people or property which does not meet SIA standards. Non-academic misconduct includes but is not limited to:

- a learner behaving inappropriately in a forum of batch on online portal;
- obstructing any SIA Personnel or representative in the performance of their duties;
- acting dishonestly or knowingly making false or misleading representations in relation to enrolment in a course;
- misusing, stealing, damaging or destroying any property of SIA, a staff member or representative, or another learner;
- willfully disobeying or disregarding any order, direction or condition made by SIA Personnel or representative;
- harassing or intimidating another learner or staff member based on race, ethnicity, sex, marital status,
- sexual preference, disability, age, religious or political convictions or for any other reason;
- prejudicing the good name, academic standing or good order and government of SIA; and
- failing to comply with an outcome resulting from this policy.

## **POLICY**

This policy applies to incidents of academic misconduct by any Learner enrolled in a program offered by SIA but includes reference to non-academic misconduct. SIA will implement this policy in accordance with the following principles:

- Each case of alleged misconduct will be dealt with on its merits, in consideration of all circumstances surrounding the case, and in accordance with this policy. The outcomes of the Learners work will not be finalised until after the case of alleged academic misconduct has been properly investigated and any appeal process has concluded; and
- The initial investigation of misconduct will be undertaken by the Training Manager and may be referred to the CEO.

SIA is committed to operating within the following principles:

- SIA will treat all Learners facing allegations of misconduct fairly and equitably and with due consideration of their privacy regardless of gender, race, ethnicity, age, disability or background consistent with equal opportunity and the principles of natural justice and procedural fairness;
- Any Learner who is the subject of an allegation of misconduct is entitled to be regarded as not having committed the act of alleged misconduct until they admit to the misconduct; or a fair and proper investigation leads to the determination that they committed the act of misconduct;
- Knowledge that a Learner has acted in a particular way in the past will not be assumed to be evidence that they have acted in the same manner again. Such knowledge may be evidence that a Learner is aware that such action constitutes misconduct, and may be relevant to any penalty imposed; and

- Where any work (or part of work) submitted for assessment by two or more Learners is deemed by a SIA assessor to be the same or substantially the same, SIA will consider this to be evidence of academic misconduct by those Learners.

## **PROCEDURE**

### **Penalties**

It is SIA's policy that the penalty or disciplinary action imposed should be appropriate to the type and severity of the misconduct. A decision of the appropriate penalty for any act of misconduct will be made by the Training Manager with the final decision resting with Chief Executive Officer (CEO), and will consider, but not be limited to review of:

- the previous record of the learner;
- whether the learner admitted the misconduct and whether, in so doing, they came forward of their initiative;
- whether the learner assisted or hindered the investigation process;
- whether there was significant extenuating or mitigating factors;
- the type of misconduct;
- the number of learners affected or involved and the impact of the misconduct on the operations of SIA and other learners; and
- Any benefit derived from the misconduct by the learner.

### **Academic Misconduct**

Where academic misconduct is proven, the following penalties may apply:

- a formal caution or reprimand to be recorded on the learners' record with SIA;
- the annulment or disallowance of results in a particular assessment;
- a requirement to undertake further or supplementary assessments with the associated costs borne by the learner;
- the exclusion of the learner from SIA programs either permanently or for a period of time;
- results withheld from the learner;
- suspension of enrolment; and/or
- any other penalty as determined by a SIA.

### **Non-academic Misconduct**

Where non-academic misconduct is proven penalties including, but not limited to the following may apply:

- the learner is required to apologise formally to any aggrieved party where appropriate;
- the learner undertakes some form of remediation, such as counselling;
- the learner provides full reimbursement of the cost of any damage caused to SIA;
- the learner is expelled (permanent exclusion) from SIA courses;
- the learners may have their enrolment suspended; and
- any such other penalty or action considered appropriate including referral to law enforcement agencies.

### **Notification**

Learners who are subject to disciplinary decisions will be notified in writing of their misconduct (where appropriate) and the actions that will be taken by SIA. SIA will notify learners of the disciplinary outcome within a reasonable time of the incident being raised.

### **Appeals Process**

Learners may appeal against the any disciplinary decision. This appeal must be submitted in writing to Training Manager.

Appeals against the disciplinary decision must be made within 10 working days of receiving the disciplinary decision notification. Disciplinary appeals that are submitted outside of this time will not be considered.

The written appeal must state the grounds on which the appeal is to be made, and must contain an explanation of why the learner believes the original disciplinary recommendation/decision is inappropriate.

The SIA Administration will consider the appeal by reviewing the initial disciplinary decision and the learner's written submission and may discuss the matter directly with the Learner and/or his/her representative. Individuals involved may also be contacted, for further information as required.

The Learner will be informed of the outcome of the disciplinary appeal within 10 working days of its lodgement as identified by the date of receipt by SIA. The decision of the appeal to the SIA Administration shall be final and no appeals of this decision will be made.

### **Detailed Procedure**

Where an allegation of academic, or non-academic misconduct as outlined in this policy is made, the Training Manager will review the allegation and initiate contact with the Learner(s) to advise that they are under review.

The Training Manager will commence an investigation into the allegation of academic misconduct and may engage the services of an independent third party reviewer.

An investigation will take ten (10) working days or otherwise as specified by the Training Manager.

The Training Manager will contact the Learner(s) in writing to advise them of the outcome of the investigation and invite them to respond within ten (10) working days of the date of the letter or email.

Upon receipt of a response, the Training Manager may make further investigations (if required) and/or refer the matter to the CEO along with a recommendation for an appropriate course of action in relation to the allegation.

If no response is received from the Learner(s) by this date, the Learner(s) will be removed from the course.

All outcomes of the Learners work will not be finalised until after a case of alleged academic or non-academic misconduct has been properly investigated and resolved.

The Training Manager and/or CEO will consider all cases of alleged academic or non-academic misconduct, and Learner response to these allegations on a case by case basis.

A decision on the outcome and to be communicated to a Learner will be decided based on the outcome of any investigation and/or Learner appeal of a decision (if applicable).

A decision of the appropriate penalty for any act of misconduct will be made by the Training Manager with the final decision resting with CEO, and will consider, but not be limited to review of:

- the previous record of the Learner;
- whether the Learner admitted the misconduct and whether, in so doing, they came forward of their initiative;
- whether the Learner assisted or hindered the investigation process;
- whether there was significant extenuating or mitigating factors;
- the type of misconduct;
- the number of Learners affected or involved and the impact of the misconduct on the operations of CPA Australia RTO and other Learners; and
- Any benefit derived from the misconduct by the Learner.
- The Learner(s) will be notified in writing by the Training Manager of the outcome of this decision.

Any costs associated with the outcome of this decision are to be borne by the Learner(s).

If the decision is taken to remove a Learner(s) from the course, no refund will be granted and no statement of attainment, record of results or relevant testimonial will be given by SIA to the Learner.

A Learner may appeal against a decision made in relation to an allegation of academic or non-academic misconduct by completing the Complaints and Appeals Form and submitting this to the SIA within ten (10) working days of receipt of the decision.

Learners should refer to the SIA Complaints and Appeals policy and procedure for further information on the appeals process.

## **Privacy Policy and Procedure**

### **SCOPE**

This policy applies to all:

- staff of SIA
- learners of SIA

### **PURPOSE**

This statement outlines the policy on how Sherwood Institute of Australia (SIA) uses and manages personal information provided to or collected by it. SIA is bound by the National Privacy Principles contained in the Commonwealth Privacy Act.

## **POLICY**

SIA may, from time to time, review and update this Privacy Policy to take account of new laws and technology, changes to RTO operations and practices and to make sure it remains appropriate to the changing RTO environment.

Learners may be contacted and requested to participate in a National Centre for Vocational Education Research (NCVER) survey or a Department-endorsed project or audit or review.

The Education and Training Reform Act 2006 requires SIA to collect and disclose personal information for a number of purposes including the allocation to learners of a Unique Learner Identifier (USI).

In the course of its business, SIA may collect information from learners or potential learners, either electronically or in hard copy format, including information that personally identifies individual users. We may also record various communications that learners or potential learners have with us.

In collecting personal information we will comply with the national privacy principles set out in the Privacy Act 1988.

## **PROCEDURE**

### **Collection and use of personal information**

SIA will only collect personal information by fair and lawful means which is necessary for the functions of SIA and is committed to ensuring the confidentiality and security of the information provided to us.

The personal information supplied by individuals to SIA will only be used to provide information about study opportunities, program administration, and academic information and to maintain proper academic records. If an individual chooses not to give SIA certain information, then we may be unable to enrol the individual in a program or supply them with appropriate information.

### **Disclosure of personal information**

Personal information about learners studying with SIA may be shared with the Australian Government, designated authorities and Education department. SIA needs to share the information for AVETMISS reporting and NCVER survey. This information includes personal and contact details, program enrolment details and changes, and the circumstance of any suspected breach of a learner visa condition.

Any person or organisation to whom personal information is disclosed as described in this procedure will be required to not use or disclose the information for a purpose other than the purpose for which the information was supplied to them.



SIA will not disclose an individual's personal information to another person or organisation unless:

- the individual concerned is reasonably likely to have been aware, or made aware that information of that kind is usually passed to that person or organisation;
- the individual concerned has given written consent to the disclosure;
- SIA believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;
- the disclosure is required or authorised by or under law.

### **Security of personal information**

SIA will take all reasonable steps to ensure that any personal information collected is relevant to the purpose for which it was collected, is up to date and complete.

SIA will store securely all records containing personal information and take all reasonable security measures to protect, personal information collected by us from unauthorised access, misuse or disclosure.

### **Right to access and correct records**

Individuals have the right to access or obtain a copy of the personal information that the SIA holds about them. Requests to access or obtain a copy of personal information must be made in writing using Access to Records Request Form. There is no charge for an individual to access personal information that SIA holds about them; however, we may charge a fee to make a copy, if it required to be posted. Individuals will be advised of how they may access or obtain a copy of their personal information and any applicable fees within 10 days of receiving their written request.

If an individual considers their personal information to be incorrect, incomplete, out of date or misleading, they can request that the information be amended using Personal Detail Form or Learner Request Form. Where a record is found to be inaccurate, a correction will be made. Where an individual requests that a record be amended because it is inaccurate but the record is found to be accurate, the details of the request for amendment will be noted on the record.

Written requests for access to or to obtain a copy of personal information held by SIA should be done using Student General Request form. The written form can be scanned and email to Student Support Services at [info@sherwood.edu.au](mailto:info@sherwood.edu.au), or post should be sent to campus address.

## **QUALIFICATION ISSUANCE POLICY AND PROCEDURE**

### **PURPOSE**

This policy has been developed to ensure compliance with the Australian Qualifications Framework (AQF) and ASQA Standards for RTOs in relation to the issuance of qualifications and statements of attainment for successful and partial completion of Sherwood Institute of Australia (SIA)'s training programs.

## **SCOPE**

This policy applies to all current, prospective and previous students of SIA and all staff involved in the issuance of qualifications and statements of attainment.

## **POLICY**

SIA will provide each student with either a Qualification/Testamur or a Statement of Attainment depending on the status of their studies and provided all agreed fees are paid.

### **DEFINITIONS Certificate/Testamur**

A certificate or testamur is defined by the AQF as 'an official certification document that confirms that a qualification has been awarded to an individual'. Certificates or testamurs refer to official documents that confirm that an AQF qualification has been awarded to an individual. A student who has been assessed as meeting the requirements of a training product as specified in the relevant training package or VET accredited course is entitled to receive the following certification documentation on award of the qualification:

- A certificate/testamur, and
- a statement of results.

The statement of results will be provided to the student on a separate page.

### **Statement of Attainment**

A statement of Attainment will only be issued if a student successfully completes one or more units of competency but does not meet the requirements for a qualification (as specified in the Training Package). The statement of attainment will list all of the units of competency achieved.

### **PROCEDURE Certificate issuance**

- On completion of each unit, the trainer is required to give the completed paperwork to the records officer for entering into the student management system (SMS) and for filing.
- SIA will issue AQF certification documentation within 30 calendar days of the learner's final assessment being completed or their exiting their course, providing all fees have been paid.
- When a student has completed their course, they are required to complete a "Qualification Issue Request form" and submit it to the records officer/student support officer for processing provided that the student has fully completed the course and paid all necessary fees.
- In order to process the students request, the record officer is to firstly check that the student has a Unique Student Identifier (USI).
- If the student provides a USI, this must be verified within the SMS.

- If the student does not have a USI, SIA will not issue a certificate unless an exemption applies under the Student Identifiers Act 2014.
- Provided the student has provided a verified USI, the Records Officer must then check that the student has completed all the units of competency as outlined in the course by checking the SMS and by checking that the academic file contains all the completed assessments.
- In the event that evidence is missing, the students' trainer will be asked to submit the remaining assessments before any further action can be taken.
- In the event that the student has not completed all the required units for that course, the student will be asked to complete the outstanding units before any further action can be taken.
- When the SMS and the students' academic file have both been checked and found to be complete, the records officer should then check with the accounts department that all agreed fees are paid.
- If there are any outstanding fees the student will be required to settle those before a certificate can be issued, as per acceptance agreement which the student has previously signed and agreed to.
- If all fees are cleared, the records officer will generate the certificate for the student. The certificate must be in the same name as on the passport/COE/government Issued Ids.
- Once the certificate are printed, the Chief Executive Officer (CEO) is required to check and sign the documents when satisfied.
- Once signed, the records officer should go through the student academic file and accounts clearance as a final check prior to issuance and will make sure that the students' name, course name, start and end dates etc. are all correct.
- The certificate is then to be recorded on the Qualification Issuance Register outlining the student name, ID number, course name and certificate number.
- A copy of the certificate is to be placed on the student file. The copy is to be stored for 30 years.
- The records officer must then sign and date the request form to say the certificate has been issued.
- The student must also sign the form to acknowledge receipt of the certificate.
- The certificate may now be issued to the student.

AQF Certificates must include the following information:

- Name of provider
- RTO code
- RTO logo
- Students' full name
- Course code and title
- CEO Signature
- AQF logo or statement
- NRT Logo
- SIA Seal
- Bar Code
- Certificate number
- Date of issue

The Record of Results must include the following information:

- Name of provider
- RTO code

- Students' full name
- Course code and name
- Unit Codes and name
- Result for each unit
- Year Enrolled
- CEO Signature
- Date of issue
- Document number

### **Statement of Attainment issuance**

- Where a student has not completed their course in full but has completed one or more of the units of the course, they can request a Statement of Attainment (SOA) providing all fees have been paid.
  - They are required to complete a "Qualification Request form" and submit it to the records officer for processing provided that the student has paid all necessary fees.
  - In order to process the students request, the Records officer is to firstly check that the student has a Unique Student Identifier (USI).
  - If the student provides a USI, this must be verified within the Student Management System.
  - If the student does not have a USI, SIA will not issue a certificate unless an exemption applies under the Student Identifiers Act 2014.
  - Provided the student has provided a verified USI, the Records Officer is to then check which unit(s) the student has completed by checking the SMS and by checking the academic file.
  - In the event that evidence is missing and the student file and the SMS do not match, the student's trainer will be asked to confirm which assessments the student completed.
- 
- When the SMS and the students' academic file have both been checked and found to be satisfactory, the records officer should then check with the accounts department that all agreed fees are paid.
  - If there are any outstanding fees the student will be required to settle those before a statement of attainment can be issued.
  - If all fees are cleared, the records officer is to allocate a SOA number, and print a SOA from the SMS for the student. The SOA must be in the same name as on the passport/COE/government Issued Ids.
  - Once the Statement of Attainment is printed, the CEO is required to check and sign when satisfied that the information is correct.
  - Once signed, the records officer should do a final check prior to issuance which checks that the students' name, course name, unit names and codes are correct.
  - The SOA is then to be recorded on the Qualification Issuance Register, outlining the student name, ID number, course and SOA number.
  - A copy of the SOA is to be placed on the student file. The copy is to be stored for 30 years.
  - The records officer must then sign and date the request form to say the SOA has been issued.
  - The student must also sign the form to acknowledge receipt of the SOA.
  - The SOA may now be issued to the student.
  - For international students, PRISMS must be updated to reflect cessation of training, e.g. if the student withdraws from the course.

Statements of Attainment will include the following information:

- Name of provider

- RTO code
- RTO logo
- Students' full name
- List of units of competency (full unit code and title of each)
- CEO Signature
- NRT logo
- SIA seal and Bar code
- Date of issue
- Certificate number
- The statement "A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units"
- The words "These competencies form part of (course code, course title)"

### **Re-issuing Qualifications**

In some instances, re-issue of/or replacement of certification documentation is to be carried out by staff at SIA based on a student making the relevant application on a 'General Request form'. The cost of this is Nil and will be completed by the Records Officer in response to a student application on a "General Request form" within 10 working days of receipt of the request. The student must provide photographic proof of identity to the Records Officer for a replacement Qualification or Statement of Attainment.

- The same certificate/statement of attainment should be re-printed from SMS.
- Once the certificate or statement of attainment is printed, the authorised SIA staff member is required to check, sign the documents when satisfied that the information is correct.
  - The certificate is to be stamped with "Duplicate"
  - The Certificate/Statement of Attainment is then to be recorded on the Qualification Issuance Register outlining the student name, ID number, and date of re-issue.
  - A copy of the re-issued document is to be placed on the student file.
  - The records officer must then sign and date the request form to say the certificate/SOA has been re-issued.
  - The student must also sign the form to acknowledge receipt of the re-issued certificate/SOA.
  - The certificate/SOA may now be re-issued to the student.

### **Revoked Qualifications**

SIA reserves the right to revoke certification (AQF qualifications or statements of attainment) that it has issued in the following instances:

- Where incorrect information has been included in a Certificate or Statement of Attainment
- Where acts of plagiarism by a student have been proven, SIA will contact all students who have had their Certificates or Statements of Attainment revoked and inform them of the revocation action in writing
- SIA will immediately reissue a revoked Certificate or Statement of Attainment where incorrect information has been used. The student name, ID, date and reason for revocation should be recorded
- Students will be sent a letter advising them of the need to return their completion documents. In the letter they are advised that they have 10 working days to do so.
- In the case where incorrect information has been included on a Certificate or Statement of Attainment, an amended version will be created and given to the student.

- The certificate is to be stamped with “Revised”.
- The incorrect version should be crossed through and placed on the student file along with a copy of the new, corrected version.

### **Unique Student Identifier (USI)**

SIA will not issue any AQF certification documentation to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the Student Identifiers Act 2014.

If a student has an exemption, SIA will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript.

Upon receipt of a USI, the Records Officer will verify it within the SMS before using that USI for any purpose.

SIA has record keeping processes in place to ensure the security of student identifiers and all related documentation, including information stored in the SMS. Refer to Record Control Policy for details.

### **RETENTION REQUIREMENTS**

Records of Statements of Attainment and Qualifications issued will be kept for a period of 30 years.

### **INTERACTIONS WITH THE NATIONAL VET REGULATOR**

SIA 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.

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## **Learner Protection Policy and Procedure**

### **Purpose of the policy**

This policy is to make sure that SIA takes all steps prior to commencement of training and assessment to enable Learner to make informed decisions about undertaking training with SIA.

### **Scope**

Learners and SIA staff.

### **Reference to RTO 2015**

Clause 5.2

### **Procedures**

- Prior to the commencement of training and assessment SIA conducts Pre-training review and LLN Test, SIA provides advice to the prospective learner about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.
- Prior to the commencement of training and assessment Learners may go on the website and download the copy of the student handbook or can request a copy from the staff at SIA, SIA will make sure that

Learner has got access to student handbook either in printed copy or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- a. the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register
- b. their training and assessment, and related educational and support services SIA will provide to the learner including the:
  - i. estimated duration
  - ii. expected locations at which it will be provided
  - iii. expected modes of delivery
  - iv. name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf, and
  - v. any work placement arrangements
- c. SIA's obligations to the learner, including that SIA is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
- d. the learners' rights, including:
  - i. details of SIA's complaints and appeals process as detailed in the complaints and appeal policies and procedures
  - ii. If SIA closes or ceases to deliver any part of the training product that the learner is enrolled in
- e. the learner's obligations:
  - i. any requirements SIA requires the learner to meet to enter and successfully complete their chosen training product, and
  - ii. any materials and equipment that the learner must provide
- f. information on the implications for the learner of government training entitlements, and subsidy arrangements in relations to the delivery of the services

Where SIA collects fees from the individual learner, SIA provides or directs the learner to information prior to the commencement of training and assessment, specifying:

- a. all relevant fee information including
  - i. fees that must be paid to SIA
  - ii. payment terms and conditions including deposits and refunds
- b. the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies
- c. the learner's right to obtain a refund for services not provided by SIA in the event the:
  - i. arrangement is terminated early, or
  - ii. SIA fails to provide the agreed services

Where there are any changes to the agreed services, SIA advises the learner as soon as practicable, including in relation to any new third party arrangements of a change in ownership or changes to existing third party arrangements.

## **Student Code of Conduct Policy and Procedure**

### **Policy Purpose**

The purpose of the Student Code of Conduct is to ensure that there is a peaceful and conducive study and work environment at the SIA for all students and staff.

### **Scope:**

This Student Code of Conduct applies to all students of the SIA community, across all courses, sites, campuses and modes of delivery.

### **Student Rights:**

All students have the right to:

- Be treated fairly and with respect by SIA staff and other students;
- Learn in an environment free of discrimination and harassment;
- Learn in a supportive and stimulating environment in which to pursue their goals;
- Have access to counselling if desired or required;
- Privacy concerning records that contain personal information, subject to statutory requirements;
- Be given information about assessment procedures at the beginning of the subject/competency/module and progressive results as they occur;
- Lodge a complaint without fear of retaliation or victimization;
- Have Principles of Natural Justice applied during any investigation process concerning a breach of the Student Code of Conduct.
- Formally notify the SIA of any absence of greater than three consecutive study days or of any withdrawal from enrolment

### **Student Responsibilities:**

All students have a responsibility to:

- Treat other students and SIA staff with respect and fairness
- Follow any reasonable direction from a member of SIA staff
- Refrain from swearing, drinking and eating in classrooms and other learning areas (water only allowed).
- Behave responsibly by not littering, harassing fellow students or staff, damaging, stealing, modifying or misusing SIA or other student's property
- Behave responsibly by not possessing or being under the influence of drugs and alcohol.
- Refrain from using mobile phones, pagers or any other electronic devices that may disrupt classes.
- Attend scheduled classes and SIA activities regularly and complete all assessments within the required timeframe.
- Do all assessment tasks and examinations honestly, and not engage in plagiarism, collusion or cheating.
- Follow SIA safety practices, including wearing approved clothing and protective equipment and following both written and verbal directions given by SIA staff.



- Not to behave in a way that would offend, embarrass or threaten others.
- Comply with all lawful regulations, rules or procedures of the SIA that pertain to them.
- Pay all fees and charges levied by the SIA within the required timeframe.
- Attend all meetings called by the SIA to discuss academic or course progress
- Meet or carry out all activities agreed with the SIA in relation to maintaining course progress or academic performance

## **BREACH OF CONDUCT**

A Student breach of conduct occurs when a student behaves in a manner described below:

- Assaults, attempts to assault or threatens a person on the SIA premises.
- Acts contrary to Equal Opportunity practices of the SIA which is committed to the prevention and elimination of discrimination on the grounds of:
  - o Age;
  - o Impairment;
  - o Industrial activity;
  - o Lawful sexual activity;
  - o Marital status;
  - o Physical features;
  - o Political belief or activity;
  - o Pregnancy;
  - o Race;
  - o Religious belief or activity;
  - o Sex;
  - o Status as a parent or a carer;
  - o Personal association (whether as a relative or otherwise) with a person who is identified by reference to any of the above attributes.
- Disobeys or disregards any lawful direction given by an officer of the SIA.
- Acts dishonestly or unfairly in connection with an examination, test, assignment or other means of assessment conducted by the SIA
- Deliberately obstructs any teaching activity, examination or meeting of the SIA
- Engages in any conduct or activity prejudicial to the management and good governance of the campus.
- Deliberately obstructs or attempts to deter any officer or employee of the SIA in the performance of their duties
- Willfully damages or wrongfully deals with any SIA property.
- Attends the SIA whilst under the influence of alcohol or affected by drugs, etc. or possesses, uses or traffics a drug of addiction or drug of dependence within the meaning of the Crimes Act 1958 or the Drugs Poisons and Controlled Substances Act 1981 or any Act in substitution thereof.
- Carries or uses such items as firearms, knives, syringes, etc as a weapon
- Fails by or within the agreed required date or period, to pay any fee or charge payable to the SIA
- Fails to comply with WH&S regulations or willfully places another person in a position of risk or danger
- Fails to consistently and regularly attend scheduled classes and activities
- Constantly interrupts class time through the use or presence of mobile phones and pagers

- Uses abusive language.
- Fails to attend meetings called to discuss academic or course progress
- Fails to carry out actions or engage in activities agreed with the SIA to maintain course or academic progress.
- Fails to formally notify the SIA of any prolonged absence, change of address and contact details or of any withdrawal from enrolment.

## **Recognition of Prior Learning and Credit Transfer Policy and Procedure**

Sherwood Institute of Australia (here after known as 'SIA') is committed to ensuring the highest quality support for our students.

This policy and procedure is under the provision of Standards for Registered Training Organisation 2015, implementing a procedure for SIA to process student's applications for Recognition of Prior Learning (RPL) and Course Credit, and document the results. It will provide a process that ensures that students will receive a written copy of the outcome of RPL and Course Credit application. Records will be kept through Student Database Management System.

### **PURPOSE**

This policy and procedure is made to provide students with the opportunity to apply for an RPL and Course Credit.

Students who have completed appropriate training or who through prior learning and experience have gained the required skills/competencies stipulated for the modules of the course may be granted credit upon substantiation of that claim. Students may make an application on request.

SIA advises all applicants of RPL opportunities and procedures on enrolment. The performance criteria of the course module set the RPL benchmarks. Evidence for RPL / credit of prior learning may include:

- Evidence of current competence;
- Performance, demonstration, or skills test;
- Photographic and video evidences
- Workplace or other pertinent observation;
- Oral presentation;
- Portfolio, logbook, task book, projects or assignments;
- Written presentation;
- Interview;
- Simulations.

### **SCOPE**

This policy and procedure applies to all Australian citizens and permanent resident of Australia who does not come from any colleges/or have not taken up college; and student from other college/ RTO who wants to continue the course with SIA. A special assessment will be conducted by a training recognising their existing skills and knowledge on the course they prefer to take up with SIA.

SIA recognises Australian Qualification Framework qualifications and Statements of Attainment which are issued by any other Registered Training Organisation.

Students may be entitled to a credit transfer in the following circumstances:

- Completed units of competency from a relevant National Training Package.
- Approved units of competency from a National Training Product.
- Successful RPL application and Course Credit

### DEFINITION

‘RPL’ is the acknowledgment of skills and knowledge that have been gained through training, work or life experiences into formal competencies. The assessment of RPL is made from the evidence provided against the learning outcomes of the current course or training package.

‘Course Credit’ on the other hand, is for students who took courses or units from other college/ RTO and did not finish or those who withdrew from the course, yet they want to continue their course with SIA. Assessment on this will include evaluating a previously completed unit of competency to determine if it provides equivalent outcomes to those specified in the current training package of SIA.

‘Credit Transfer’ is defined by AQF as “A process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications”.

‘Formal learning’ refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree);

‘Non-formal learning’ refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business);

‘Informal learning’ refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

### PROCEDURE

#### 1. RPL (Recognition of Prior Learning)

SIA applies a systematic approach to the granting of RPL which does not unfairly advantage or disadvantage any existing or prospective student. Students are not required to repeat learning activities, regardless of how or where the learning was acquired, providing the learning is current and relevant to the competencies applicable to the qualification in which they are or seek to be enrolled. These learning experiences include the individual’s relevant formal, informal and non-formal learning.

Applications for RPL will be considered on a case-by-case basis and in a timely manner to ensure that all applicants are able to make well-informed choices about study options, pathways and alternatives by taking into account the credit they can expect

Applicants are required to complete the appropriate section of the Application for RPL and provide evidence in support of each unit of competency/subject for which RPL is sought. Forms of evidence may include:

- High School transcripts;
- University/TAFE/other provider’s transcripts;
- Course subject outlines;
- Detailed Résumé (CV) with referee details/payslips/statement of service
- Results/statements of attendance/certificates relating to business in-house courses,
- Workshops and seminars;
- Position descriptions;
- Relevant licences;
- References/Statements of Service/letters of support from past employers (these must be on the relevant company letterhead, dated and signed);
- Diaries/task sheets/job sheets/log books;
- Membership of relevant professional associations, etc.
- Photographic evidences
- Videos

This evidence will be assessed and, if necessary, an interview held at which the applicant may provide additional evidence of the relevant competencies or demonstrate the relevant skills. Depending on the living and communication circumstances, this interview may be conducted by telephone or by means of teleconferencing or demonstration given on arrival at the suggested premises. In such circumstances, prior to the interview commencing, the student must provide SIA with a copy of all of the supportive evidence; these documents must have been verified by a Justice of the Peace or equivalent authority as being true copies of the original.

SIA reserves the right not to recognise part or all of any previous experience if the assessor believes that the competencies or knowledge demonstrated and recorded fall significantly short of the industry standard as stated within the relevant National Training Package or accredited course. In such a case, the applicant will be required to complete further related training.

There is no limit to the amount of RPL that can be granted to any one student. A full qualification can be attained in this way, and a special RPL fee would apply in such circumstances. This fee will vary, depending on the course tuition fees, and the type of prior learning. Information is available from the SIA website.

Applicants need to be aware that many tertiary institutions will not grant credit for subjects against which another registered education provider has already granted credit. SIA may allow this, but an RPL assessment process and standard RPL fees will apply.

### **Application**

Applications for RPL can only proceed when a student has enrolled in the unit(s) of study for a qualification, or at the time a student is enrolling in a qualification.

All prospective and enrolling students can opt the RPL option. A student who wishes to proceed with the application, he/she should fill out relevant form or download the application form from the SIA website to apply for RPL. The printed / filled form should be submitted to Administration. Student Support Staff will also provide additional guidance if needed.

Where students have gained relevant skills and knowledge other than undertaking accredited training for the unit, a student may be eligible for RPL. Students must complete the RPL kit Application part for the course or unit and submit to Administration with supporting evidence as required. This evidence must be clearly identifiable, and support the applicant's case for RPL by addressing the relationship of evidence to the Unit of Competency for which RPL is being sought. The supporting evidence is clearly stated in RPL policy.

Completed RPL Kits are to be submitted to Administration and includes original documents to be sighted and copied by assigned Facilitator. The RPL fee will be calculated based on the number of units the applicant is applying for RPL. This must be paid or payment plan must be made. RPL Kits will not be accepted unless all required information is included.

SIA trainer/assessor will be contacting the immediate supervisor for conducting the assessment on the student's workplace. All the assessment will be conducted at the student's workplace and workplace has to provide all the resources required to demonstrate the skills and knowledge of the student.

In case of gap training is identified, the students will be required to attend the training, which will be conducted at the workplace. Students will need to complete the assessment workbook, which will be provided by trainer assessor in order to show the competency in the particular unit of competency.

### **Outcome of Application**

SIA needs to provide the student a confirming outcome of RPL application. The students must sign this to indicate agreement with the outcomes of application for RPL and a copy is to be kept in the Student File along with all other RPL documentation.

### **Refund**

No refund of fees and charges is given, regardless of whether the RPL application is successful or unsuccessful.

### **Time Limits for Assessment Process**

- Applications for credit against previous formal learning will normally be assessed within five (5) working days providing all necessary documents have been submitted. A longer period may be required where full assessment is required, particularly at peak enrolment times.
- Applications for recognition of non-formal and informal learning will normally be assessed within ten (10) working days. A longer period may be required at peak enrolment times.

### **Appeals**

Applicants who are not satisfied with the outcome of their application, may seek to appeal the decision using the *Complaints and Appeals Policy and Procedure* available from SIA website.

## 2. Course Credit

The policy is for Credit Transfer as exemption from enrolment in a particular part of the course as a result of a competency currently held. Credit transfer assesses the initial course or subject that a student is using to claim access to, or the award of credit in, a destination course. The assessment determines the extent to which the student's initial course or subject is equivalent to the required learning outcomes, competency outcomes, or standards in a qualification.

The process involves SIA to make sure:

- Credit Transfer is different from Recognition of Prior Learning.
- Mapping, comparing, evaluating, and making an educational judgement of the extent to which the defined learning outcomes and assessment requirements of the individual components of one qualification are equivalent to the learning outcomes and assessment requirements of the individual components of another qualification.
- Setting out the agreed credit outcomes in a documented arrangement or agreement, and publicising the arrangement/agreement and credit available.
- All staff must be provided with information about the Credit Transfer application process and assist students in completing applications.
- Credit Transfer information must be included in information given to students prior to enrolment.
- All prospective and enrolling individuals must be informed in either print or electronic form of the opportunity to apply for Credit Transfer. Students are informed of the credit transfer process in the Student Handbook, and are asked to identify if they would like to apply for a Credit Transfer in the Enrolment Application Form.
- Credit transfer will not be granted after the student's course has started therefore all applications for credit must be made prior to the course commencement.
- There is no fee for this application.
- SIA will grant course credit to students with appropriate evidence to support their application. If necessary, the duration of study is adjusted accordingly and students are advised of the credits granted.
- The Qualifications and Statements of Attainment issued by any other Registered Training Organisation must be recognised.
- Recognition means that students will be granted exemptions or advanced standing in a course as a consequence of components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications completed with another Registered Training Organisation.

### **Application and process**

- If a student wishes to apply for Credit Transfer, they must complete the Credit Transfer Application Form and include appropriate evidence to support the Credit Transfer application.
- Students must submit original versions or certified true copies of their supporting evidence. This may be in the form of Nationally Recognised Qualification or Statement of Attainment indicating the unit code(s) and title(s) believed to be equivalent to the unit(s) for which credit is being applied for, or other documents of equivalence that are outside the AQF.
- The student is required to submit this application with associated evidence to the Student Support Staff. This can be done by online submission, or through post.
- The assessment of all Credit Transfer Applications will be undertaken by the Compliance department.
- The Compliance department must complete the appropriate sections of the Credit Transfer application form and fill in Credit Transfer Outcome Form to identify if the credit has been granted or not.
- Where Credit Transfer is 'Granted' this information will be communicated in writing to the applicant within 14 working days of completion of the assessment and the training program adjusted accordingly.

- Where Credit Transfer is 'Not Granted' students will be notified in writing of the outcome within 14 working days of completion of the assessment. The written communication to the student will include a reason for refusal (where applicable). In all cases, a copy of the Credit Transfer application form and certified copies of the relevant Qualification/Statement of Attainment and outcome will be kept in the student's file.
- Students are to show they accept the course credit by signing the acceptance part of the credit transfer application form.
- The Compliance department must identify the reduction in study time and fees based on the units for which Credit Transfer has been granted.
- Where credit is granted the results need to be updated on the Student Management System (SMS), this will be done by the Compliance Officer or Records Officer.
- The Compliance department must advise Enrolments of the reduction in study time.

### **Appeal**

Applicants who are not satisfied with the outcome of their application, may seek to appeal the decision via the *Complaints and Appeals Policy and Procedure* using Complaints and Appeals Form, available from SIA website.