



POLICIES AND PROCEDURES

For Staff and Students

TRANSITIONAL

Note: This handbook is in transition from the Standards released in 2012 (SNR) to the new Standards 2015. It should be read in conjunction with the Student Handbook (including pre-enrolment information) and the Staff Handbook

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Preface: About This Handbook

This handbook has been created to document Governance Risk Compliance Institute's (GRCI's) policies and procedures (P&Ps). It should be read in conjunctive with the relevant Staff Handbook and/or Student Handbook. The P&P handbook is designed for both staff and students at GRCI. The purpose of the handbook is to specify the policies and procedures within our organisation and to provide information relevant to both students and staff. The handbook is divided into two sections:

- Section 1 – Organisational Policies and Procedures
- Section 2 – Training Policies and Procedures.

The RTO Manager and the Professional Development Manager are responsible for:

- Maintaining the master copy of this handbook
- Distributing amendments as they are issued
- Overseeing the actioning of Problems/Comments/Recommendations for Change forms, and
- Coordinating the annual review of this handbook.

Any queries regarding the information contained in this handbook will be directed to the Professional Development Manager as follows:

Tel: +612 9290 1788

Email: education@theGRCinstitute.org

PROBLEMS/COMMENTS/RECOMMENDATIONS FOR CHANGE

This form is designed to provide an opportunity for comments on the content and layout of the handbook. The feedback can be provided as a hard copy direct to the Professional Development Manager

Refer to Annex B.



Abbreviations

Acronym	Extension
ACPET	Australian Council of Private Education and Training
AEI	Australian Education International
AQTF	Australian Quality Training Framework (replaced by SNR)
ASQA	Australian Skills Quality Authority
ATO	Australian Tax Office
AusLIST	Lists Australian institutions and courses available to overseas in their own country –e.g. via distant learning. AusLIST comes under AEI. NOTE: AusLIST was decommissioned on 1 July 2014. GRCI now operates overseas directly under the provisions of AEI’s Transnational Quality Strategy (TQS)
DE	Australian Department of Education (replaces DEEWR)
DEEWR	Now DE –Department of Education Department of Education, Employment and Workplace Relations
DIICCSRTE	The Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education
NSSC	National Skills Standards Council decommissioned in April 2014 and replaced by COAG Industry and Skills Council
GRC	Governance Risk Management and Compliance
GRCI	Governance Risk Management and Compliance Institute (previously ACI: Australasian Compliance Institute)
NVR	National VET Regulator
RPL	Recognition of Prior Learning
RTO	Registered Training Organisation
SI	Student Identifier
SNR	Standards of the National Vocational Education & Training (VET) Regulator (NVR) for Registered Training Organisation (RTO)
SRTO (2015)	Standards for Registered Training Organisations (RTOs) 2015
TQS	Transnational Quality Strategy (under AEI) for offshore delivery of Australian courses
VET	National Vocational Education & Training
VETAssess	Vocational Education and Training Assessment
WHS	Workplace Health and Safety



SECTION ONE: ORGANISATIONAL POLICIES AND PROCEDURES

Welcome

We welcome you to GRCI.

GRCI is Australasia's peak industry body for compliance, risk and governance professionals. We serve our members and contribute to their communities by:

- Engaging with government to encourage balanced and pragmatic regulation;
- Sharing our compliance knowledge and experience to assist members' organisations in effectively addressing market and community expectations;
- Developing critical competencies for compliance professionals with our highly respected accreditation program; and
- Representing members with a clear and informed voice on the emerging challenges impacting our profession.

Refer to the organisational chart in this document.

Our Mission

GRCI exists to be the preeminent body for compliance and enterprise risk management professionals across the Asia Pacific region with a strong focus on the development of business governance practices.

We provide leadership and advocacy on behalf of our members, with a strong focus on the development of their expertise in business governance practices that support the achievement of their organisation's objectives.



About This Document

This Policies and Procedures Handbook has been prepared to inform you of the policies and operational procedures that apply to all students and employees of GRCI and to help you understand the benefits GRCI can also offer them.

It is part of our practice to keep our students and staff informed of the policies, procedures and practices of GRCI and as any change are added to these, all will be updated on our web site and sent to staff and students in PDF format. Your support in reading, understanding and complying with the contents of the handbook is essential to the wellbeing of all students, staff and GRCI.

Congratulations on your decision to join us and best wishes for our mutual success.

Regards,

A handwritten signature in blue ink, appearing to read 'M. Tolar'.

Martin Tolar
Managing Director



Code of Ethics

All Members of GRCI, including staff and students, agree, as a condition of membership, to be bound by this Code of Ethics and in so doing, give confidence to those with whom they work, meet or interact as to the standard of behaviour that can be expected. At its core, compliance implies acceptance, adoption and achievement of particular standards of behaviour and business operations whether enshrined in law, regulation, code, standard, convention, or community expectation.

As leaders in compliance, ethics and governance, Members will:

- At all times act with honesty, integrity and probity and not knowingly mislead anyone, including colleagues, clients, and regulators;
- Comply with all relevant Commonwealth, State and Territory laws, as well as any relevant laws of other countries and seek to have their organisation, clients and members of the broader community do likewise;
- Work to establish and foster a culture of compliance and good corporate citizenship within their organisation and the broader community;
- Report all corrupt, illegal and unethical conduct to the appropriate person within the organisation;
- Respect the principles of equal opportunity and cultural diversity and encourage a culture of openness and trust;
- Make objective and impartial decisions based on careful research and investigation and encourage open and honest dealings with regulators, staff at all levels and boards;
- Protect the confidentiality of information made available to them, subject to any legal obligations to disclose;
- Be alert to conflicts of interest and take appropriate steps to declare and deal with them;
- Seek innovative solutions to problems and challenges and work to achieve continuous improvement to help organisations meet, or exceed, all relevant legal, industry, safety, environment and other statutory requirements;
- Understand their duties and obligations and how they are to be performed ensuring that they have established effective reporting and accountability lines;
- Provide a high standard of service to all they deal with in performing their duties and obligations; and
- Maintain and develop necessary levels of professional skills and current knowledge to excel in their compliance duties.



Legislation and Policies

SNR 20 Compliance with Legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

SRTO (2015)

Standard 8.5 The RTO complies with Commonwealth, State and Territory legislation regulatory requirements relevant to its operations.

Standard 8.6. The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Relevant GRCI Policies –to be complied with by all staff and students:

SNR/SRTO and ASQA

The Standards of the National Vocational Education & Training (VET) Regulator (NVR) for Registered Training Organisation (RTO) or SNR are the national set of standards which assures nationally consistent, high-quality training and assessment services for the clients of Australia's vocational education and training (VET) system. Revocation of the *Standards for NVR Registered Training Organisations 2012* takes effect on 1 April 2015.

<http://www.asqa.gov.au/about-asqa/national-vet-regulation/standards-for-nvr-registered-training-organisations.html>

The Standards for Registered Training Organisations (RTOs) 2015 form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications. SRTO set out the requirements that an organisation must meet in order to be an RTO; ensure that training products delivered by RTOs meet the requirements of GRCI's VET accredited courses, and have integrity for employment and further study; and ensure RTOs operate ethically with due consideration of learners' and enterprises' needs.

Training staff need to be aware of the training and assessment conditions and standards in the SNR and SRTO. You can find out more information from various websites.

The SNR and SRTO require trainers to have as a minimum a Certificate IV in Training and Assessment, (usually referred to as TAE) otherwise that trainer must work under the direct supervision of someone who does. Consistent with this standard, GRCI requires that all training and assessor staff obtain the Certificate IV in Training and Assessment (Schedule 1 SRTO 2015) within 2 years of beginning work with GRCI. The Certificate IV course includes detailed information about the SNR and eventually SRTO.

GRCI must meet the SNR Essential Conditions and Standards for Continuing Registration (and SRTO 2015) in order to deliver and assess nationally recognised training and issue nationally recognised qualifications.



The *SNR Essential Standards for Continuing Registration* have a strong focus on continuous improvement, as well as a requirement for Registered Training Organisations (RTO) to gather information on their performance.

The Quality Indicators have been designed to help RTOs conduct evidence-based and outcomes-focused continuous quality improvement, and assist a registering body to assess the risk of an RTO's operations. Under the SNR, RTOs are required to collect and use data on key Quality Indicators which was originally endorsed by National Skills Standards Council (NSSC) and now under the COAG Industry and Skills Council: Learner Engagement, Employer Satisfaction and Competency Completion.

The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers to ensure nationally approved quality standards are met. For more information, their website is <http://www.asqa.gov.au>

Work Health and Safety Act 2011

The Work Health and Safety Act 2011 provides a framework for managing health and safety risks in Australian workplaces. The objective of the Act is to prevent fatalities, injuries and illness caused by a workplace, by workplace activities or by a specified high risk plant - this is achieved by preventing or minimising exposure to risk. All organisations must comply with this Act, regardless of the types of services and/or products they provide or sell. For more information visit:

<http://www.comlaw.gov.au/Series/C2011A00137>

Workplace Health and Safety Policy

GRCI is committed to ensuring a safe and healthy workplace for all employees. GRCI conduct regular audits of their health and safety practices and all employees are expected to participate in the regular safety and evacuation drills.

GRCI WHS objectives are:

- To prevent personal injury and to safeguard against foreseeable hazards
- To encourage education and awareness of WHS
- To ensure that GRCI complies with legislative requirements
- To provide appropriate medical and first aid facilities to safeguard employee health and welfare
- To achieve by joint consultation the effective cooperation and involvement of all employees in attaining the Company's health and safety objectives
- As an employer, GRCI will ensure the health, safety and welfare of its employees including:
- Providing the information, instruction, training and supervision necessary to ensure the health and safety at work of employees
- Providing and maintaining equipment and systems of work that are safe and without risk to health
- Ensure compliance with WHS legislation, agreements and standards
- Making arrangements for ensuring the safe use, handling, and storage of equipment
- Encourage effective injury and illness reporting, recording and investigation
- Provide effective rehabilitation measures for employees who suffer work related injuries and illness.



All employees have a responsibility to ensure workplace safety. Senior level management will monitor the global level of organisational safety, however, each individual's contribution is essential in maintaining a safe working environment.

The following points outline the range of responsibilities attributable to all GRCI employees. It is expected that every employee shall take all practicable steps to ensure:

- The employees' safety while at work
- That no action or inaction of the employee while at work causes harm to any other person
- They eliminate if practicable, or otherwise isolate or minimise, all significant hazards and report to the National Manager or their manager immediately every hazard or safety problem that they notice
- Report any accidents, injuries or incidents to the National Manager as soon as possible
- If any employee is uncertain about anything in relation to workplace safety, they must not proceed with what they are doing and directly ask the National Manager
- To read the Workplace Health and Safety Notice Board on a regular basis
- The National Manager is the Workplace Health and Safety Representative. The National Manager provides a clear reference to all the safety strategies in place at GRCI.

Equal Employment Opportunity

It is the policy of GRCI to provide equal employment opportunity at every level without regard to:

- Race
- Creed
- Colour
- Religion
- Sex
- Sexual preference
- Age
- National origin
- Disability
- Family responsibilities
- Pregnancy
- Political opinion

These policies apply to all phases of employment opportunity, including but not limited to, recruitment, hiring, job assignment, promotions, transfers, compensation, termination, disciplinary actions, access to benefits and training, and use of facilities.

Employment decisions at GRCI will be based on merit, qualifications and abilities.

Any employee with questions or concerns about any type of discrimination in the workplace are encouraged to bring these issues to the attention of their Manager, the MD, or the external grievance support officer.

Employees can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.



Anti-discrimination

GRCI is committed to ensuring that all of its representatives, students, visitors, suppliers etc. are treated fairly and equally in their employment and training.

- All opportunities are determined on the basis of merit without regard to nationality, race, religion, sex, sexuality, marital status, pregnancy, politics or impairment
- Trainer/assessors are accountable for the implementation of this policy
- GRCI and its representatives have a responsibility to provide an environment, which is free either directly or indirectly from any form of discrimination, harassment, insult, ridicule, victimisation or bullying

Harassment Policy

GRCI's objective is to provide a work environment that fosters mutual employee respect and working relationships free of harassment.

For the purposes of this policy: Sexual harassment includes making an unwelcome sexual advance or engaging in conduct of a sexual nature where the person concerned may be offended, humiliated or intimidated. Sexual harassment can be physical, oral, written, or may be comments made in a person's presence.

Some examples of other non-tolerable harassment include:

- Verbal abuse or comments that put down or stereotype people generally, or an individual particularly, because of their age, sex, pregnancy, race, sexuality, disability, or marital status.
- Material that is racist, sexist, ageist, sexually explicit, anti-gay, anti-transgender etc., that is displayed publicly, circulated or put in someone's workspace or belongings, or put on a computer screen, in an e-mail or a fax.
- Jokes based on gender, race, marital status, sexuality, disability, age or marital status.
- Repeated invitations when the person has refused a similar invitation previously.

If you experience any behaviour that you consider to be harassment please notify your Manager, the National Manager or the external grievance officer. They will support you to take formal action if required.

Sexual harassment

All representatives of GRCI are required to note and agree to comply fully with the regulations and legislation preventing sexual harassment and ensure that all training students are made aware of and comply with such regulations and legislation requirements.

The guidelines are:

Sexual harassment includes but is not limited to:

- Making unsolicited and unwelcome written, verbal, physical or visual contact with sexual overtones (for example: jokes, slurs, assault, touch or posters)
- Continuing to express sexual interest after being informed that the interest is unwelcome or intrusive questions or innuendo of a sexual nature.



- Masking reprisals, threats of reprisal or implied threats of reprisals following a negative response. (for example, suggesting a poor performance report will be given)
- Engaging in implicit or explicit coercive sexual behaviour which is used to control, influence or affect the career, salary or environment of another
- Offering favours or benefits such as promotions, favourable reviews, favourable assigned tasks, etc. In return for sexual favours

GRCI strives for an environment free of sexual harassment. These policies against harassment apply to both the training and work environments for students, staff and contractors.

Anyone found to be in violation of this policy will be subject to appropriate disciplinary action, which includes warnings, reprimand, suspension, dismissal or cancellation of contract.



Alcohol and Substance Abuse Policy

It is GRCI's goal to establish and maintain a work environment that is free from the adverse effect of alcohol, illegal and controlled substances, or misuse of prescription drugs. GRCI expects employees and students to report for work or face to face training sessions in a condition to perform their duties or study safely, competently and productively.

GRCI strictly prohibits employees and students from possessing, manufacturing, distributing, dispensing, concealing, selling or using alcohol (with the exceptions noted below) or prohibited substances, or being in an impaired condition from any such substances, during business or training sessions hours or on GRCI property:

Employees may be suspended immediately pending further investigation if:

- They are found to have used or to be using alcohol, drugs or controlled substances on GRCI premises.
- They appear to be under the influence of drugs, controlled substances or alcohol while on GRCI premises.
- They are found in personal possession of drugs or controlled substances on GRCI premises, including private vehicles, desks or any other such repository.

If use or possession is substantiated, disciplinary action, up to and including termination shall be imposed.

Unauthorised usage or possession of alcohol shall not include alcohol consumed in the course of legitimate business or end of training events attended by GRCI staff and students such as dinners, graduation, staff functions and GRCI sponsored social function, as long as such consumption does not cause the employee or student to violate applicable laws relating acceptable social behaviour while under the influence of alcohol.

Contractors or visitors found in violation of the above stated policy will be refused entry to or be asked to leave GRCI premises.

Failure to abide by this policy will result in disciplinary action up to and including termination of employment or of enrolment.

Relevant Legislation

The following are summaries only.

For full details use the links to each Act

Or search for a summary "overview of Xxxx Act"

Or download many of these documents at FileShare™ Links, Shared by: Peter Basell

<https://backup.filesanywhere.com/FS/v.aspx?v=8c6a648c58647479b0a2#>

Australian Qualifications Framework

Pathways to move between the education and training sectors

Recognition of prior learning (RPL), including credit transfer and experience

Encourages higher quality vocational education and training (VET) through qualifications that meet needs

National and international recognition of qualifications offered in Australia.



<http://www.aqf.edu.au/>

National Vocational Education and Training Regulator Act 2011

This Act was introduced in 2011 to establish a consistent registration and accreditation framework for vocational education and training, by applying nationally agreed standards. For more information visit:

<http://www.comlaw.gov.au/Details/C2012C00143>

Fair Work Act 2009

Fair Work Amendment (state referral) Act 2009

10 National Employment Standards

set minimum wages for award ,

maximum weekly hours of work, leave, public holidays, notice of termination and redundancy pay and so on

<http://www.comlaw.gov.au/Series/C2009A00028>

<http://www.comlaw.gov.au/Details/C2009A00124>

Australian Consumer Law (ACL) 2011

Australian Consumer Law (ACL) 2011 aims to provide an equitable, competitive, informed and safe market place. It makes provisions in respect to certain unfair or undesirable trade practices, and aims at regulating the supply of goods and services.

ACL is enforced by the Australian Consumer and Competition Commission (ACCC) and State regulators. It empowers the ACCC to deal with contraventions, allowing for fines and also ensuring consumers are provided with minimum guarantees and warranties. Compliance with the ACL is a legal requirement and any contraventions or complaints escalated by consumers are likely to be investigated by the regulator. Relevant aspects of ACL are:

- Dealing with consumer transactions for goods or services;
Fees: Students are informed upfront of the total cost of courses, it is crucial that the single total fee is always displayed in a prominent way within the same collateral.
- On the making and enforcement of information standards;
Marketing conduct and claims: ensuring that materials and advice to students is accurate and not misleading when promoting courses and benefits. GRCI also ensures that logos and titles are used in accordance with directions from ASQA and AQF

<http://www.consumerlaw.gov.au/content/Content.aspx?doc=home.htm>

http://www.consumerlaw.gov.au/content/content.aspx?doc=the_acl/legislation.htm

Industrial Relations Act 1988

The principal objective of the Industrial Relations Act 1988 is the provision of a framework for industrial relations that supports economic prosperity and social justice. For more information visit:

http://www.austlii.edu.au/au/legis/cth/num_act/ira198824/



Copyright Act 1968

Copyright Act 1968 and Copyright Amendment (Digital Agenda) Act 2000

Hardcopy and web/digital material

For study and research purposes you are allowed to copy up to 10% or one chapter of a book or one article per issue of a journal. Copyright royalty payments apply for the reproduction above this rule. There is no permission to copy software unless permitted by the license

<http://www.comlaw.gov.au/Series/C2004A07378>

<http://www.comlaw.gov.au/Details/C2004C01235>

Equal Opportunity

- New South Wales Anti-Discrimination Act 1977
- Queensland Anti-Discrimination Act 1991
- South Australia Equal Opportunity Act 1984
- Victoria Equal Opportunity Act 2010
- Western Australia Equal Opportunity Act 1984

The objectives of Equal Opportunity legislation are to encourage the identification and elimination of discrimination, sexual harassment and victimisation and their causes, and to promote and facilitate the progressive realisation of equality. For more information go to:

<http://www.equalitylaw.org.au/elrp/resources/>

Equal Employment Opportunity Act 1987

Discrimination occurs if an employee is treated less favourably on the basis of a prohibited ground of discrimination (sex, age, race, etc.). This is direct discrimination.

Indirect discrimination occurs where there is a requirement for all but it impacts on certain groups (such as people of a certain gender) and is not reasonable in the circumstances.

<http://www.comlaw.gov.au/Series/C2004A03429>

Disability Discrimination Act 1992

Disability Discrimination Amendment (Education Standards) Act 2005

Disability Discrimination and Other Human Rights Legislation Amendment Bill 2009

Disability Discrimination Regulations 1996

To eliminate, as far as possible, discrimination against persons on the ground of disability in the areas of work, education, access to premises... facilities... (such as toilets)

Promote recognition and acceptance that persons with disabilities have the same fundamental rights as others

<http://www.comlaw.gov.au/Series/C2004A04426>

<http://www.comlaw.gov.au/Details/C2005A00019>

<http://www.comlaw.gov.au/Details/C2009A00070>

<http://www.comlaw.gov.au/Details/F2012C00527>



Racial Discrimination Act 1975

Racial discrimination occurs when someone is treated less fairly than someone else because of their race, colour, descent or national or ethnic origin.

Racial discrimination can also occur when a policy or rule appears to treat everyone in the same way but actually has an unfair effect on more people of a particular race, colour, descent or national or ethnic origin.

Sex Discrimination Act 1984

prohibits discrimination on the basis of sex, marital status, pregnancy or potential pregnancy in a range of areas of public life and this includes work and education...

Eliminate sexual harassment.

Create recognition and acceptance of the principle of the equality of men and women.

<http://www.comlaw.gov.au/Search/Racial%20Discrimination%20Act%201975>

Age Discrimination Act 2004

To eliminate, as far as possible, discrimination against persons on the ground of age in the areas of work, education, access to premises etc

To allow appropriate benefits and other assistance to be given to people of a certain age, particularly younger and older...

<http://www.comlaw.gov.au/Series/C2004A01302>

Competition and Consumer Act (CCA) 2010

The object of the Competition and Consumer Act (CCA) 2010 is to enhance the welfare of Australians through the promotion of competition and fair trading, and through a provision for consumer protection.

For more information visit: <http://www.accc.gov.au/content/index.phtml/itemId/815209>

Children, Youth and Families Legislation

- New South Wales Children and Young Persons (Care and Protection) Act 1998
- Queensland Child Protection Act 1999
- South Australia Children's Protection Act 1993
- Victoria Children, Youth and Families Act 2005
- Western Australia Children and Community Services Act 2004

The objectives of the Children, Youth and Families legislation is:

- to provide for community services to support children and families
- to provide for the protection of children
- to make provision in relation to children who have been charged with, or who have been found guilty of, offences

For more information visit: <http://www.aifs.gov.au/nch/pubs/sheets/rs14/rs14.html>



Privacy

Privacy Act 1988

Privacy Amendment (Private Sector) Act 2000

Privacy Amendment Act 2004

Privacy Amendment Act 2014

The Privacy Act 1988 makes provision to protect the privacy of individuals, and for related purposes. It should be noted, however, that the Federal Privacy Act does not regulate state or territory agencies (except for the ACT). Only information relevant to the college's functions must be collected.

Students and staff have a right to know who will see the information.

Those in charge of storing the information have obligations to ensure it is secure.

Students and staff will also have the right to access information about themselves.

<http://www.comlaw.gov.au/Search/Privacy%20Act%201988>

<http://www.comlaw.gov.au/Search/Privacy%20Amendment%20Act%202004>

<http://www.oaic.gov.au/privacy/privacy-act/privacy-law-reform>

www.privacy.gov.au/act/privacyact/index.html

The Privacy Amendment Act 2014 established 13 Australian Privacy Principles (APP):

APP 1 — Open and transparent management of personal information

APP 2 — Anonymity and pseudonymity

APP 3 — Collection of solicited personal information. Higher standards apply to 'sensitive' information.

APP 4 — Dealing with unsolicited personal information

APP 5 — Notification of the collection of personal information

APP 6 — Use or disclosure of personal information

APP 7 — Direct marketing

APP 8 — Cross-border disclosure of personal information

APP 9 — Adoption, use or disclosure of government related identifiers

APP 10 — Quality of personal information

APP 11 — Security of personal information

APP 12 — Access to personal information

APP 13 — Correction of personal information

The following statements summarise how GRCI abides by the APPs:

- If it is lawful and practicable to do so, GRCI will give people the option of interacting anonymously with it.
- GRCI will only collect personal information that is necessary for its functions, activities and reporting to government authorities such as AVETMISS data..
- GRCI will use fair and lawful ways to collect personal information.
- GRCI will collect personal information directly from an individual if it is reasonable and practicable to do so.
- GRCI will get consent to collect sensitive information unless specified exemptions apply.
- At the time of collecting personal information or as soon as practicable afterwards, GRCI will take reasonable steps to make an individual aware of:
 - why it is collecting information about them;
 - who else it may give the information to; and
 - other specified matters.



The privacy principles that govern the Institute are :

- Information will only be obtained to allow the activities of the Institute to be undertaken
- Members may inspect the Membership register, but may not take electronic copies
- Only those members who have given permission will have their personal details made available to other members
- Membership information obtained under a) will not be used by Members except for the purposes of the Institute
- Membership information will not be provided to third parties without the consent of the Member
- Membership lists will not be sold, lent or given to third parties, including Members for commercial gain except as may be required by law
- Members will be asked when joining and from time to time, to nominate the amount of information that may be revealed to other Members
- Attendees at events will be invited to nominate if their Name and Affiliation can be released to other delegates

Refer also to the web privacy statement.



Emergency Evacuation

GRCI's central Fire Warden is our Administrative Assistant – please follow their directions in the case of Emergency Evacuation. Should they be absent from the office at the time of the emergency please follow the procedure outlined below.

Emergency Evacuation Procedure

In the case of an emergency when evacuation is required all employees must follow the specified evacuation procedures. Please use the closest fire exits in the case of an emergency. Do not use the lifts. It is the responsibility of all employees to ensure that their co-workers are following procedure and exiting the area as quickly and safely as possible. Employees must not stay in the building to collect other Company property. It is important they exit as quickly and safely as possible. All staff must adhere to any directions given by any emergency services crews, should they be in attendance in an emergency.

Stage 1. Vacate

All employees must quickly and calmly make their way to the Fire exits.

Stage 2. Assemble

All employees are to go immediately to the meeting point - **Wynyard Park** – adjacent to Wynyard Station and assemble there.

PLEASE NOTE: In the case of a Bomb Threat a new location may be advised by Building Management

Employees are not to leave this area unless all have assembled and agreed. Everyone should speak to someone in their business unit or near desk location to confirm their safety, and then in turn notify their Business Unit Manager to confirm the 'team's safety'. If anyone has been conducting an on-site meeting it is their responsibility to ensure their visitors evacuate in the agreed manner and that they are present at the meeting point.

Stage 3. Assess and Act on the Situation

It is important that everyone patiently waits for the emergency services to arrive and complete their job, rather than trying to address the issue him or herself.

First Aid Officers will commence providing essential first aid to any injured employee(s) while waiting at the assembly area.

It is important that throughout any emergency procedure all employees:

- Remain calm
- Do not put others at unnecessary risk
- Obey instructions from emergency services, OH&S Representatives, and in hostage situations - offenders
- Employees provide all information they have on the incident to the National Manager and/or MD and Emergency Service representatives



After any serious emergency experienced by GRCI staff, debriefing and counselling will be made available by the organisation, to ensure that all employees are comfortable upon their return to work.

First Aid

GRCI does not currently have assigned First Aid Officers.

The First Aid Kit that is located in the kitchen/amenities area of the office. Should you require medical attention please notify your manager or the National Manager in lieu of assigned First Aid Officers.

- They eliminate if practicable, or otherwise isolate or minimise, all significant hazards and report to the National Manager or their manager immediately every hazard or safety problem that they notice
- Report any accidents, injuries or incidents to the National Manager as soon as possible
- If any employee is uncertain about anything in relation to workplace safety, they must not proceed with what they are doing and directly ask the National Manager
- To read the Workplace Health and Safety Notice Board on a regular basis
- The National Manager is the Workplace Health and Safety Representative. The National Manager provides a clear reference to all the safety strategies in place at GRCI

Version Control Policy

GRCI has implemented a version control system for all its organisational and training documents.

1. The version and date of issue will be recorded in the footer of each page –refer sample in below footer.
2. Updates are recorded in table at the end of each document or separate policy and procedure –refer to following sample table.
3. The updateable document file path is embedded after the table - procedure –refer to following sample document path.

Staff are to only use the latest electronic version which can be accessed by referencing the document file path. Amendments to documents must be authorised by the RTO manager or Professional Development Manager. Updates are distributed to all relevant parties. Note: For pre 2014 documents GRCI maintained a version control register (filename: Amendments Register 2009-2013.docx). All previous versions are filed in relevant archive folders

Sample version control

Date	Version number	Description of amendment	Authorised officer making amendment
Nov 2013	V2	update	Maree Hurley
April 2014	V3.0	Handbooks and P&Ps	John Saunders
April 2014	V3.1	Review and edit	John Saunders

Sample Document Path

X:\1. Education\1. Registered Training Organisation (RTO)\6. Handbooks and Policies & Procedures\GRCI Policies and Procedures Manual V3.2.doc



SECTION TWO: TRAINING POLICIES AND PROCEDURES

Nationally Recognised Training and Nationally Accredited Courses

91516NSW Certificate IV in Compliance Management
91517NSW Graduate Certificate in Compliance Management



Refer to Student Handbook for further details

Quality Assurance Policy (SRTO 2015: Standard 2)

In accordance with SNR and SRTO 2015, GRCI staff will focus on continuous quality improvements or quality assurance. The organisation will collect, analyse and act on relevant data and opportunities for the systematic and continuous improvement of:

- Policies and Procedures Handbook, Staff Handbook and Student Handbook –refer to handbooks for regular checks as and updates as indicated in version controls within each P&P and for the documents as a whole.
- training and assessment including phasing in replacement competencies and remapping in T&AS, new or updated assessment tools or instruments –refer to version controls within documents
- client services and
- management of operations.
- GRCI will employ quality indicators to provide valuable data to:
 - identify areas for improvement in relation to its training and assessment services;
 - gauge how well it is meeting its clients' needs; and
 - monitor the quality of its operations to minimise the risk of poor quality performance having a negative impact on clients or the standing of the Australian VET system (refer to GRCI Risk

Quality Indicators

GRCI will use the following quality indicators for continuous improvement and for determining its risk profiles:

Employer Satisfaction (SRTO 2015: Standard 8.1)



The **Employer Questionnaire** focuses on employers' evaluations of students' competency development, its relevance to work and further training, and the overall quality of the training and assessment.

Student Satisfaction (SRTO 2015: Standard 8.1)

The **Learner Questionnaire** and the **GRCI course completion survey** focus on the extent to which students are engaging in activities likely to promote high-quality skill outcomes, as well as students' perceptions of the quality of their competency development and the support they receive from GRCI.

Competency and Course Completion (SRTO 2015: Standard 8.1)

This is calculated for qualifications and units of competency/modules delivered, based on data provided by GRCI on the previous calendar year's number of enrolments and qualifications completed and/or units of competency/modules awarded.

Quality Assurance via internal audits/self assessments (SRTO 2015: Standard 8.2)

GRCI will conduct an internal audit/self assessment of all the nationally recognised courses on its scope of registration. The checks are both informal and formal and engage the original independent authors of content, trainer and assessors contractors, and committees within GRCI. As a professional association GRCI remains at the forefront of GRC in the Australasian region and this expertise underpins all course developments and content.

The following tips will be used when conducting internal audit and self assessment:

- Be as objective as possible
- Seek out a broad range of evidence to support your decision
- Written policies and procedures, memos, minutes, and staff and student interviews
- Plan and document your audit approach
- Inform your staff and other stakeholders well in advance before auditing their areas
- Keep written evidence of your audit findings
- Provide feedback to staff and other interested stakeholders on your findings

A report will be developed outlining the observations, outcomes and recommendations of the internal audit/self-assessment.

The person conducting the checks will forward a formal report and make appropriate recommendations for addressing non-compliance to standards and continuous process improvement opportunities to the Managing Director in a timely manner.

In accordance with the AQTF, the Managing Director will review the report and recommendations made on GRCI's compliance with the standards. This will be done within 2 weeks of the completion of the report.



Quality Assurance of Training and Assessment (SRTO 2015: Standard 1 and 2)

GRCI will improve its training and assessment arrangements in accordance with data collected.

GRCI's continuous improvement approach will be:

- systematic;
- involve staff, clients and other stakeholders; and
- use qualitative and/or quantitative data to determine the need for improvements to training and assessment.

GRCI will systematically collect and analyse qualitative and quantitative data on the quality of training and assessment services. The organisation will:

- plan where data will be collected from, how it will be collected, the form it will take, how often it will be collected, and how it will be collated, analysed and used;
- ensure that data collection and analysis confirms good practice and shows where improvements need to be made;
- make improvements where analysis demonstrates that they are needed;
- regularly review data collection to assess its usefulness for improving products and services;
- give feedback to those who have contributed to the data; and
- maintain a record of all of the above.

GRCI will ensure that the data it collects and analyses is relevant and sufficient to make judgments about the quality of training and assessment across its scope of registration and operations. The organisation will focus on:

- prior continuous improvement activities;
- assessing the relevance of the collected data to its training and assessment outcomes; and
- deciding which aspects of training delivery are most critical to its quality training and assessment.

GRCI will obtain qualitative and quantitative data as follows:

- client satisfaction surveys/questionnaires;
- interviews, focus groups, and/or other data from consultation with students, enterprise clients, industry organisations and licensing bodies;
- records of staff/planning meetings and agreed actions;
- records of complaints and appeals and their resolution –refer to complaints and appeals section;
- internal audit reports and organisational self assessment; and
- staff performance-appraisal reports.

GRCI will improve its training and assessment by:

- enhancing the quality, currency, relevance and sufficiency of training and assessment resources, including reasonable adjustments made to meet the needs of students with a disability;
- implementing professional development activities and outcomes;
- enhancing the validity, reliability, flexibility and fairness of assessment processes; and
- ensuring revised practices are analysed in light of further data collection.



Quality and Client Services (SRTO 2015: Standard 1, 4, 5 and 6)

GRCI will ensure that its client services meet clients' needs and are continuously improved in accordance with data collected about their effectiveness.

GRCI's continuous improvement approach will:

- establish what clients' needs are.
- collect data about whether these needs are being met.
- improve services in response to this data.

GRCI will systematically collect and analyse qualitative and quantitative data from and about clients to ensure that its services meet clients' current and changing needs. The organisation will:

- plan where data will be collected from, how it will be collected, the form it will take, how often it will be collected, and how it will be collated, analysed and used;
- ensure that data collection and analysis confirms good practice and shows where improvements need to be made;
- make improvements where analysis demonstrates that they are needed;
- regularly review data collection to assess its usefulness for improving products and services;
- give feedback to those who have contributed to the data; and
- maintain a record of all of the above.

GRCI will ensure that the data it collects and analyses is relevant and sufficient to gain a clear picture of the effectiveness of its client services. GRCI will collect data from students, trainers and assessors, employers, and other relevant stakeholders, to ascertain whether clients' needs are being met. GRCI will focus on:

- the effectiveness of assistance provided in the areas of language use, literacy and numeracy;
- the clarity and accuracy of information provided to students before enrolment;
- processes for student selection, enrolment and induction/orientation;
- clients' level of satisfaction with training and assessment services and with the support services provided, including external support;
- the effectiveness of welfare and guidance services;
- RPL processes; and
- complaints and appeals processes - refer to complaints and appeals section.

GRCI will obtain qualitative and quantitative data as follows:

- client satisfaction surveys/questionnaires;
- interviews, focus groups, and/or other data from consultation with students, enterprise clients, industry organisations and licensing bodies;
- records of complaints and appeals and their resolution – refer to complaints and appeals section;
- internal audit reports and organisational self assessment; and
- outcomes from benchmarking activities.



GRCI will improve its client services by:

- revisions to information provided to clients so that it is clearer or in a more suitable format;
- streamlined enrolment processes;
- improved referral information for clients with special needs;
- revised induction/orientation processes;
- improved results in assessments of language use, literacy and numeracy;
- changes to complaints and appeals processes - refer to complaints and appeals section;
- increased levels of engagement with employers, industry and/or regulators;
- records of professional development undertaken by staff; and
- further review and improvement to the above as part of the continuous improvement cycle.

Quality Assurance of Management Operations (SRTO 2015: Standard 7 and 8)

The role of management system is to ensure that the GRCI meets:

- the SNR Essential Standards for Registration; and
- the SNR standards for continuing registration and
- the SRTO 2015
- legislation and regulations under which it is registered.

- In relation to its management system, GRCI will ensure that (SRTO Standard 1 and 2):

- there is relevant and sufficient documentation for the scope and scale of its operations.
- staff know and meet their responsibilities for implementing the system.
- the system is systematically monitored and improved.
- the system is of an appropriate for the size and scope of the operations.
- the system is focused on providing quality training and assessment and client services the system is consistently implemented across all operations.
- the system is systematically monitored and improved.

GRCI's systematic quality assurance approach will ensure the following:

The management system ...	Evidence
is appropriate for the size and scope	Effective control over the organisation's operations is provided by consistently operate in accordance with SNR 2011-12 <i>Essential Standards for Continuing Registration / SRTO 2015</i>
focuses on quality training and assessment services	<ul style="list-style-type: none"> • Quality Assurance processes are developed to achieve effective client and industry engagement; for example, arrangements are in place to meet regularly with industry and employer groups (committees) to seek feedback and make changes in response • High value is placed on the quality of teaching and learning



The management system ...	Evidence
	through rigorous selection processes and continuous professional development for trainers and assessors –refer to staff matrices <ul style="list-style-type: none"> • Examples of management’s commitment to maintaining and improving training and assessment environments and resources are observed.
is consistently implemented across all of the RTO’s operations	<ul style="list-style-type: none"> • Communication throughout the organisation about management systems and decisions is effective • Staff are actively engaged in continuously improving the system • Key policies and processes are documented to an appropriate level and accessible to all relevant staff and students via web • Checks are made to ensure that key policies and • Regular and systematic reviews of key data are conducted by management • procedures are being implemented appropriately
is systematically monitored and improved	<ul style="list-style-type: none"> • Key performance indicators and monitoring organisational performance against them are established • Stakeholders’ feedback about the organisation’s overall performance is elicited and analysed • Management systems and organisational performance with other RTOs are benchmarked • Internal audit and organisational self-assessment against the SNR 2011-12 Essential Standards for Continuing Registration and SRTO 2015.

Pre-course Enrolment procedures (SRTO 2015: Standard 4 and 5)

Students will enrol in training courses directly with GRCI through the registration section of the GRCI website www.theGRCInstitute.org which links with the student management system (RTO Manager and individual Student Identifier (SI) allocation

Where appropriate, the course fees will be outlined on the enrolment page of the website. Unless otherwise stated, the course fees cover all course materials, tuition and assessment. GRCI membership is not a requirement for GRCI courses but membership will allow a significant discount of around 20% and allow a graduate to use the post nominal if applicable for that course. Membership is a separately payable fee that must be accompanied by GRCI membership application.

In accordance with GRCI’s Financial Procedures policy a non-refundable deposit is payable within 7 working days of enrolment. Full payment for any GRCI course must be received within 14 days of the course commencement.

GRCI may use a number of different training venues, including training rooms, hotels and client training rooms. Venues will be selected for consistency with the standards required by GRCI for quality training delivery, and regularly monitored to ensure that adequate standards are being maintained. A checklist for selection and on-going feedback is included as Annex B.



Students will be given an Induction Brief during the first morning of the course. Students will be given the opportunity to ask questions at this time.

Access and Equity (SRTO 2015: Standard 1.7)

GRCI will meet the needs of individuals and the community as a whole through the integration of access and equity guidelines. The organisation will:

- Ensure that equity principles for all people are implemented through the fair allocation of resources and the right to equality of opportunity without discrimination,
- Increase opportunities for people to participate in the vocational education and training system, and in associated decisions, which affect their lives, and
- Implement client oriented conservation programmes and target the specific needs of market segments in enhancing the economic development of the organisation.

Access and equity means ensuring that everyone has the opportunity to successfully gain skills, knowledge and experience through education and training. GRCI will maintain a policy of non-discrimination in accordance with the Anti-Discrimination Act 1997 (amended 2002) towards all students.

Recruitment and Training (SRTO 2015: Standard 8.5 and 8.6)

All aspects of recruitment and training will be governed by merit, competence, suitability and where applicable, qualifications and will not be influenced by sex, age, race, colour, religion, national origin or disability.

GRCI will:

- Ensure the establishment of non-discriminatory student selection procedures which encourage fair access for members of under-represented groups,
- Ensure access and equity issues are considered during curriculum development, and
- Provide access to staff development to assist trainers/teachers who deliver courses to under-represented groups.

All staff, facilitators and clients of GRCI are responsible for implementing the above procedures and for reporting those who do not.

Offshore Delivery and Quality Assurance (SRTO 2015: Standard 2)

The Institute applied for AusLIST registration in early 2014 and as the application was in process AEI-International Education Network decommissioned and deregulated the venture as of 1 July 2014. This means the Institute will continue to offer partial offshore delivery under the Transnational Quality Strategy (TQS) and the Institute will abide by the four principles for offshore delivery. The Transnational Quality Strategy (TQS) establishes a quality assurance framework for offshore delivery of Australian transnational education and training. Offshore students will be awarded the same qualifications at the same standard as domestic students

“four principles:



1. Ensure that Australia's quality assurance framework is well understood and well regarded within Australia and internationally;
2. Make clear to providers and consumers the accountabilities in offshore education and training;
3. Ensure that accreditation and audit functions are undertaken transparently; and
4. Ensure equivalence between courses/programs offered within Australia and offshore"

The institute ensures that the delivery and assessment is the same as onshore as the same trainers will deliver the initial 2 or 4 days face to face start to the courses and work will be assessed by those trainers. The course is then completed by distant learning as with domestic or onshore. The workplace assessment and case studies will be assessed by assessors in Australia. All venues used offshore are of the same standard or better than those used in Australia.

Assessment (SRTO 2015: Standard 1)

Generally the format of the assessment will be via written tests, assignments, case studies and/or workplace projects related with the topic of the course, in accordance with the relevant endorsed training package.

All assessments will be conducted by a qualified assessor. The assessor will record the results for each assessment and provide written feedback to the student on the Summative Assessment Cover Sheet. GRCI will maintain a copy of the Summative Assessment Cover Sheet for each student on their file. All assessments will be returned to students within 12 working days of receipt by the assessor.

All assessment activities are to be handed in by the student by the due date to the facilitator/assessor or the GRCI office.

Extensions to the due date of an assessment may be granted under exceptional circumstances. All requests for extension must be made in writing NO LATER than 10 working days before the due date of the assessment. Extensions of up to 10 working days may be granted by the Professional Development Manager however any extensions beyond this must be referred to the Accreditation and Education Committee for their consideration and ruling. All applications for extension must be accompanied by supporting evidence.

Where a student is deemed "Not Yet Competent", an electronic copy of their assessments will be maintained by GRCI for a minimum of 2 years, together with a copy of their subsequent assessments (where applicable). Electronic copies of results will be kept for 30 years.

One resubmission is allowed for all assessments at no extra cost. GRCI staff are not permitted to provide additional tuition prior to the second assessment, however students will be provided with feedback from the assessor on the Summative Assessment Cover Sheet.

Where a student does not demonstrate competency on the second occasion, they can nominate to:

- attend a subsequent course, or
- submit an appeal

In both cases, the student will be charged a fee.

Where assessments are conducted by a team of assessors, GRCI will:

- Develop guidelines for the conduct of the assessment,



- Prescribe the standard and criteria for successful completion of each assessment,
- Monitor and review the comments and feedback provided on a regular basis (as a minimum, annually) to ensure that they are appropriate,
- Monitor and review the assessments made on a regular basis (as a minimum, annually) to ensure that they are valid and reliable,
- Maintain a record of the checks made of the assessments and
- Implement remedial action where required.

Where a program has only one assessor, then GRCI will arrange for an independent assessor to monitor and review the comments and feedback made by the former to ensure that they are appropriate and that assessments are valid and reliable. This will be done on a regular basis (as a minimum, annually). The single program assessor is still responsible for:

- Developing guidelines for the conduct of the assessment,
- Prescribing the standard and criteria for successful completion of each assessment,
- Maintaining a record of the checks made of the assessments and
- Implementing remedial action where required.

Where a student is dissatisfied with an assessment made, they may lodge an appeal or a complaint refer to complaints and appeals section.

Students will be issued the assessment tools and marking criteria on final day of GRCI course. An electronic copy of the assessments, marking criteria and unique student number will also be emailed to all course attendees within 5 business days. All students will be given up to 6 months to complete and submit the assessments to education@theGRCinstitute.org from the date of this email. Any requests for extensions must be submitted in writing no later than 10 working days prior to the due date in accordance with GRCI's extension policy.

- An email will be sent to students 1 week prior to assessments due date as reminder of submission deadline. <X:\Education\Associate Intensive\Templates\ASSAssign.Due1WK.doc>
- Assessments are to be received via email to the GRCI education email address education@theGRCinstitute.org
- Students will receive a confirmation receipt by return email once their assessment has been received at education@theGRCinstitute.org
- Open MSExcel spreadsheet "Participant Assessment Tracking" will include the assessment received date.
- Student's assessments and related email attachments (i.e. coversheets and appendix) will be saved into individually named and numbered electronic folder; the Folder will follow the protocol First name Surname Student number (i.e. John Smith 123568).
- Assessments will be renamed and saved in individual's folder under document type with student number ONLY (i.e. Associate Intensive assessment 123568, Associate Intensive appendix 123568, Associate Intensive coversheet 123568)
- Assessor will be contacted to arrange for assessments to be emailed.
- Assessments and appendix documents will be forwarded electronically via email to the Assessor. Assessments referenced under student number ONLY (name of student and assessment coversheets will NOT be forwarded to Assessor).
- Assessor's initials will be recorded on "Participant Assessment Tracking" spreadsheet.

All student records will be kept electronically indefinitely or a minimum of 30 years. All assessments will be retained for the minimum of 6 months after completion of the course or units of study.



Academic Integrity Policy (SRTO 2015: Standard 1)

Cheating, plagiarism, and falsification of data are dishonest practices which contravene GRCI's code of ethics. GRCI is committed to honest behaviour and ethical education.

The purpose of this policy is to define the actions and behaviours that contravene GRCI's standards on ethical education and sets out the responsibilities of staff in providing guidance and feedback to students on academic integrity. Procedures are provided for staff to manage breaches of policy by students and rules on academic conduct.

Forms of academic dishonesty

GRCI regards academic dishonesty as a serious offence and a penalty will be imposed on anyone found guilty of such conduct. The two main forms of academic dishonesty are plagiarism in assignments and misconduct in examinations:

1. Plagiarism means claiming and using the thoughts or writings or creative works of others without appropriate acknowledgment or attribution. Plagiarism includes:

- a) copying part or all of another student's assignment;
- b) allowing another person to write some or all of an assignment;
- c) copying paragraphs, sentences or parts of sentences directly from texts or the
 1. internet without enclosing them in quotation marks or otherwise showing them to be
 2. copied - even if the source is acknowledged;
- d) using concepts or developed ideas, even if paraphrased or summarised, from
 3. another person, from texts or the internet without acknowledging the source;
- e) copying graphics, multimedia works or other forms of intellectual property without appropriate acknowledgment.

2. Misconduct in an examination includes the following forms of dishonesty:

- a) using a substitute, or acting as a substitute to undertake an examination;
- b) using unauthorised materials or prohibited electronic devices, such as mobile
- f) phones, in an examination;
- c) not complying with the GRCI's instructions for students during an examination.

GRCI recognises that some acts of plagiarism may arise from genuine ignorance or lack of skill in using academic conventions for referencing. This is considered *unintentional plagiarism*.

For guidance on using Harvard referencing, please visit:

http://www.do.cs.fce.unsw.edu.au/fce/EDU/harvard_ref_guide.pdf

[Staff should take into account that many students, including some from other cultures, will not be familiar with the conventions for referencing which are expected in Australian Registered Training Organisations.]

Consequences of Academic Misconduct

Should the assessor find evidence suggesting plagiarism, the matter will be referred to the Professional Development Manager who will draft a formal report of the evidence. The Professional Development Manager may discuss the matter with the student directly. The report will be brought to the attention of the Accreditation and Education Committee who will make a judgement on the basis of the evidence made available to them as to whether plagiarism has occurred and whether the plagiarism is considered unintentional or intentional.



The Accreditation and Education Committee will determine whether the case should be brought before the Ethics Committee.

After reviewing the evidence, the Accreditation and Education Committee may take the following courses of action:

- a) Student's submission graded as a Fail, with no eligibility to resubmit assessment. Student must re-enrol in the course.
- b) Student's submission graded as a Not Yet Satisfactory, with option to resubmit the assignment at a date specified by the Committee.
- c) In extenuating circumstances, a student may be prohibited from re-enrolling in the course.

Please Note: GRCI reserves the right to disallow a student from study should the student be deemed non-compliant with GRCI's policies or Code of Ethics.

Dealing with misconduct in an examination

The Course Facilitator is authorised to take action to prevent misconduct in scheduled examinations. The responsibility includes determining the immediate action to be taken when an alleged misconduct is discovered. Where necessary, the Course Facilitator will send a report about an alleged breach to the Professional Development Manager. Where possible, the Professional Development Manager will discuss an alleged case of misconduct informally with the student. If the Professional Development Manager confirms that academic misconduct may have occurred, the matter will be referred to the Ethics Committee for decision.

Assessments and Appeals (SRTO 2015: Standard 6)

Assessment extensions

Extensions will only be granted in exceptional circumstances relating to medical and family emergencies, or extreme changes to work commitments e.g Enforceable Undertakings or audits. Pre-existing work commitments or heavy workloads will not be considered a valid reason for extension. Any extension request must be made in writing at least 10 working days prior to the due date of the assignment. This request must be accompanied by a doctor's certificate and/or other supporting documentation. Extensions of up to 10 working days may be granted at the discretion of the Professional Development Manager however any longer extensions must be referred to the Accreditation and Education Committee for their consideration and ruling.

GRCI recognises that in extreme health or other extenuating personal circumstances that two weeks may not be sufficient. In the rare event that more than two weeks is required, the application will be forwarded to the Accreditation and Education Committee for acceptance or rejection. Applicants will be notified in writing of the outcome of their request for extension. An Appeals process is available should applicants be dissatisfied with the outcome with their request for extension.

Appeals policy

Appeals may be lodged by the applicant in relation the following:

- Assessments outcomes for a GRCI accredited course or non-accredited course
- applications for the Associate, CCP and CCP(Fellow) designation;



- assignments submitted to attain the Associate or CCP fellow designation; or
- dissatisfaction with the outcome of an extension request.

Observance of the principles of Natural Justice shall be paramount. Applicants shall have twenty eight days to lodge an appeal which shall be in writing to the GRCI office addressed to the Managing Director. The Committee shall appoint a panel of three Committee members to hear the appeal. The panel members must not know the student personally or have any potential conflicts of interest including conflicts that may be perceived to arise from a professional or commercial competitive situation. The applicant shall be advised of the date of hearing within fourteen days of the delivery of the Notice of Appeal. The appeal shall be heard not less than fourteen and not more than twenty eight days from the date the Notice of Hearing is sent.

The applicant shall have the right to appear in person or by teleconference and may offer written and/or oral evidence in support of the claim and may present witnesses. There shall be no right to legal representation for any party. The rules of evidence shall not apply.

The panel is to assess all material and is not simply to review the assessor's recommendation. The panel may receive fresh material from the applicant in support of the application. The panel may request assistance of an assessor (not being the assessor who conducted the initial assessment), or domain experts to assist in its deliberations.

The assessor who conducted the initial assessment is not permitted to attend the appeal. The majority decision of the panel shall be final and there shall be no opportunity for further appeal.

The Panel shall notify the student of its decision within seven days.

A written copy of the decision shall be given to the applicant, the Chair of the Accreditation and Education Committee, the President of GRCI and the Managing Director of GRCI. Each party shall bear its own costs.

Assessment outcomes

The Assessor will evaluate the assessments. Assessments will be assessed under competency-based criteria as either Satisfactory or Not Yet Satisfactory.

The Assessor will return the assessment results electronically via email and will provide GRCI with 2 document types:

- Word document that details observations specific to the individual student's assessment
- Summative Assessment Cover Sheet (1 for each student)
- Submission dates and assessment result will be recorded under the education section within the student's profile –maintained in the Student database (RTO Manager)
- The student's individual Assessment Cover Sheet forms will be saved into corresponding student's electronic file under the student number
- Students are emailed an assignment receipt confirmation upon submission
- Students will be notified of their individual assessment results via email
- The email will include a copy of their individual Assessment Cover Sheet form as completed by the Assessor
- Template letters for Satisfactory and Not Yet Satisfactory results are available at X:\1. Education\1. Registered Training Organisation (RTO)\8. Email templates.
- Not Yet Satisfactory email invites the student to amend and resubmit their assessment for reassessment based on the assessors feedback



- The date that students are notified of the results of their assessment results will be recorded in the Education section of a student's profile.

Procedure for Assessments deemed *NOT YET SATISFACTORY*

- Students with a Not Yet Satisfactory result are invited to amend and resubmit their assignment for reassessment. They are offered one opportunity to resubmit
- GRCI requires students **ONLY** need amend the assessment components that were not previously deemed by the assessor as Satisfactory
- Students are granted 10 working days to resubmit after the date that they are notified of their results. The due date for the resubmission is recorded in the student profile.
- Resubmitted assessments received via email to the GRCI education email address education@theGRCInstitute.org
- Students are emailed a confirmation receipt confirming GRCI has received resubmitted assessment (and related email attachments)
- "Participant Assessment Tracking" updated with date resubmitted assessment received at GRCI
- Resubmitted assessment and related email attachments (i.e. coversheets and appendix) transferred into individual's named and numbered electronic folder (i.e. John Smith 123568) saved on X Drive.
- Assessments renamed and saved in individual's electronic folder under document type with student number **ONLY** and reference to resubmission (i.e. Associate Intensive assessment 123568 resubmission, Associate Intensive appendix 123568 resubmission, Associate Intensive coversheet 123568 resubmission)
- Resubmitted assessments (and related appendixes) forwarded electronically via email to Assessor. Resubmitted assessments referenced under student number **ONLY** and indicate **RESUBMISSION** (name of student and assessment coversheets are **NOT** forwarded to assessor)
- Assessor's name recorded on the "Participant Assessment Tracking" spreadsheet

Issuing Awards (SRTO 2015: Standard 3)

CERTIFICATE / TESTAMUR

Students must successfully complete all competencies and assessment activities to receive the qualification. Such students will receive a course certificate which includes:

- name, code and logo of issuing body, GRCI
- name of person receiving the qualification
- nomenclature as in the Framework, eg Certificate IV and Graduate Certificate
- Accredited Course Code and name
- The words "This is to certify that Student Name, Student Number, has fulfilled the requirements for, Name of qualification
- date issued
- certificate number
- authorised signatory – Managing Director
- NRT logo
- AQF logo



- the words, 'The qualification is recognised within the Australian Qualifications Framework

RECORD OF RESULTS

Students who successfully complete all competencies in a qualification will also receive a Record of Results

- A Record of Results (a list of successfully completed units of competencies) with the words, "These competencies were attained in completion of the Accredited Course Code and name

For complete details recorded on a testamur and a record of results refer to the samples included in Annex J.

STATEMENT OF ATTAINMENT

If students exits prior to completing the whole course or has not achieved competence in all units of competency within the required timeframe (including an extensions granted or resubmissions), they will be entitled to receive a Statement of Attainment for all competencies that they have satisfactorily completed. Students may re-enrol at a later date and complete the course, subject to availability. Such students will receive a Statement of Attainment certificate which includes:

- name and code of the issuing RTO
- name of the person who achieved the competencies or modules
- date issued
- a list of competencies including the national code for each unit of competency
- authorised signatory – Managing Director
- NRT logo
- the words 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from a nationally recognised course

For complete details recorded on a Statement of Attainment refer to the sample included in Annex K.

All Testamurs and Statements of Attainment for recognised training will be verified for alignment with the existing scope of registration by the Managing Director, GRCI before being awarded to students.

All Testamurs with a Record of Results or Statement of Attainment will be issued to students within 21 days of course completion. Students can also opt to attend a once a year graduation ceremony usually held at the annual conference in October held in Sydney, Melbourne or the Gold Coast.

Moderation of Assessment (SRTO 2015: Standard 1)

GRCI will conduct moderations of assessments which will involve assessors discussing and reaching agreement about assessment processes and outcomes. It will enable the assessors to develop a shared understanding of the requirements of each Training Package, including the relevant competency standards and assessment guidelines, the nature of evidence, how evidence is collected and the basis on which assessment decisions are made. GRCI will record all details of the activities.



Evaluation

GRCI will conduct evaluations to provide information about the efficiency, effectiveness and usefulness of the training program. More specifically, the evaluation will be conducted to determine:

- changes (if any) in student’s behaviour,
- knowledge increase, skills improvement and attitude changes,
- other results (such as reduction in staff turnover, increased production, reduced costs, improvement in quality), and
- ways to improve future programs.

Evaluation will be conducted as follows:

WHEN	DESCRIPTION	RESPONDENT
End of course	What were the responses to the training program?	Students
Continual	End of course comments (oral or email) Meetings recommending updates on materials	Facilitator (trainer) Assessor

Evaluation will be conducted via:

- GRCI Learner survey (see Annex L for sample)
- Learner questionnaire forms
- Employer questionnaire forms
- interviews, focus groups, surveys/questionnaires and/or other data from consultation with students, employees, enterprise clients and industry organisations
- staff/planning meetings and agreed actions
- complaints and appeals and their resolution – refer to complaints and appeals section
- internal audit reports and organisational self assessment
- staff performance-appraisal reports.

The evaluations will gather feedback about the:

- quality of the course content, format, structure facilities and delivery methods.
- quality, currency, relevance and sufficiency of training and assessment resources, including reasonable adjustments made to meet the needs of students with a disability
- professional development activities and outcomes
- validity, reliability, flexibility and fairness of assessment processes.

GRCI will summarise the questionnaires, analyse and review qualitative and/or quantitative data to determine the need for improvements to training and assessment and produce an evaluation report. The report will include recommendations for changes to the course to ensure that it better meets the needs of



the students. The report will be reviewed by the GRCI Director and trainers/assessors on a 6 monthly basis to determine when and if to implement the recommendations. See Annex L for a sample.

GRCI will also note any informal feedback the organisation may receive such as telephone calls, letters etc, about its training and assessment. These will also be reviewed and included in the respective evaluation report.

GRCI will maintain a record of all changes made to its training and assessment.

Training Record Management Policy (SRTO 2015 Standard 4)

GRCI will maintain the following training records:

- Course records,
- Course materials,
- Student results,
- All Summative Assessment Cover Sheets,
- A sample of completed assessment items,
- Summative Assessment instruments, and
- Details of qualifications/Statements of Attainment issued.

An electronic file will be created for each course. Any documentation relating to a course will be placed in the course file including nominations, refunds, general correspondence, completed evaluation questionnaires, etc.

Student identification will be verified on or before the commencement of the course through the provision of photo identification. The date and type of identification sighted will be recorded in the student's record in the database.

All course materials will include version control details. GRCI will ensure that all facilitators/assessors have a current copy of the course materials prior to the delivery of a course.

GRCI will maintain a record of the final assessment outcome for each unit of competency. The record will include the number and title of the unit of competency, the final summary (including a notation of competent/not yet competent) plus the date achieved and will be kept electronically and/or hard copy.

GRCI will maintain a copy of all completed assessment items for all students until after the appeal period (minimum of 5 working days). This will consist of sufficient evidence as to how the assessment was made so as to be able to justify the decision if there is an appeal. It will consist of the actual piece of work completed by the student (if practical) and the Summative Assessment Cover Sheet for the student. The Summative Assessment Cover Sheet will include a summary of feedback given to the student, the name of the assessor and the date of the assessment. After the appeal period only the Summative Assessment Cover Sheet for each student will be retained.



GRCI will maintain a copy of all assessment instruments. Such instruments may address one competency or a cluster of competencies as applicable for holistic assessment. They clearly demonstrate what has been assessed, how this occurred and the linkage to the set standards in the training product (Training Package/accredited course). They will be supported by objective criteria on which the assessor based the assessment decision, such as model answers or listing the key points.

All original assessment records will be grouped by course and stored in a locked filing cabinet in the GRCI offices.

GRCI will maintain a record of Qualifications and/or Statements of Attainment issued to students electronically and/or in hard copy. The record will meet the requirements of the AQF Implementation Handbook and the endorsed Training Packages and/or accredited courses within the scope of GRCI's registration. GRCI will maintain enough information to reproduce the qualifications/Statements of Attainment, including the date of issue, if required. A list of units of competency achieved by each individual student will also be retained. For qualifications completed after 1 January 2015 GRCI student VET transcripts will be available using the Student Identifier and access the national database.

A disk copy of the following will be stored on the GRCI network and a monthly back up copy will be held by the Administration Manager in an alternate location:

- Student results,
- Assessment instruments, and
- Qualifications/Statements of Attainment issued.

All records will be maintained in a secure place and confidential information must be safeguarded. Access to the records will be restricted.

Information about individual students will not be disclosed to a third party without the written consent of the student.

Where a student wishes to gain access to their personal records, they are required to put the request in writing to the Managing Director of GRCI. The latter will then arrange an appointment when the student can visit the premises of GRCI and view their records. Such access will be supervised by authorised GRCI staff.

Should GRCI cease to operate, the organisation will, within 14 working days of ceasing, forward all student results, including student records (name, address and any identifier, such as date of birth) to the department's regional office. The documentation will be a complete, accurate and ordered copy of all student results/details since initial registration. The records will be in the form of a disk copy and hard copy, and include software details. Copies of qualifications/Statements of Attainment granted to students, and a list of the competencies/modules achieved for each student will be included.

GRCI will retain records to demonstrate SNR Compliance on audit as follows:



ITEM	FORMAT	PERIOD TO BE RETAINED (MIN)	NUMBER
Student results	Electronic	30 years (SRTO schedule 5)	100%
Completed assessment items	Assessment completed by the student –electronic and hard copy submissions	SNR = Minimum 6 months after completion of course. GRCI currently stores these for the previous 3 years. They are kept for moderation and validation purposes and stored in locked cabinets	100%
	Assessor's completed marking guide/ criteria/ observation checklists	SNR = Minimum 6 months after completion of course. GRCI currently stores these for the previous 3 years. They are kept for moderation and validation purposes and stored in locked cabinets	100%
Assessment tools/ instruments	Electronic or hard copy	5 years To be validated a minimum every 5 years and more than 50% within the first 3 years (SRTO Standard 1.9, 1.10 and 1.11). It is planned that all assessment tools/products will be validated and updated in 2015 in preparation for re-accrditation of courses in October 2015	All tools/ instruments used (all assessment products)
Qualifications/ Statements of Attainment Issued	Electronic	30 years(SRTO schedule 5)	100%



Recognition of Prior Learning (RPL) (SRTO 2015: Standard 1.8 and 1.12)

Refer to ANNEX N: Recognition of Prior Learning (RPL) is the acknowledgement of an individual's skills and knowledge, irrespective of how it has been acquired

GRCI has developed a system that is offered to all students to ensure there is no unnecessary duplication of training or assessment and to ensure maximum recognition of current skills and knowledge. This is detailed in the recognition of prior learning section. Student skills and knowledge are mapped against the requirements of the competencies.

For qualifications completed after 1 January 2015 GRCI will be able to access VET transcripts for the student using their individual Student Identifier and access the national database.

Trainers/Assessors are required to advise students of RPL and how they may apply. RPL is the process of formal recognition for skills and knowledge gained through previous experiences such as:

- Life experiences
- Previous formal learning
- Employment
- Recreational or personal interests

Students may be eligible for recognition of prior learning for part or all of their intended study, based on previous experiences and learning. For all RPL applications evidence must be gathered and RPL application completed.

The trainer/assessor's role in this process is to instruct and guide in the evidence gathering and documentation process. This means a student applying for RPL must satisfy the requirements of the competency/competencies in the course. RPL is an individual process of mapping prior learning to the performance criteria, knowledge and skills and evidence requirements of the course. The Managing Director, the Professional Development Manager, the RTO manager, and assessors may be involved in making decisions based on the evidence and documentation provided by the student.

Recognition of Qualifications issued by other RTOs / Credit transfer (SRTO 2015: Standard 3)

GRCI will recognise AQF qualifications and Statements of Attainment issued by all other RTOs. Students may be eligible for a credit transfer for training previously undertaken through another Registered Training Organisation. Credit transfers may be granted for one or more units or a full certificate. Three major factors need to be considered including how recently the qualification was issued, mapping to the accredited course and if the training was undertaken with a Registered Training Organisation.

A student applying for direct credit transfer is required to submit the original (or certified true copy) of the Testamur with an original Record of Results (listing competencies) or a Statement of Attainment (listing competencies) and any other relevant information to GRCI. Copies of the originals will be kept in the student file.

Trainers/assessors are required to advise students on the availability of this option and assist them in gathering required documentation. The final decision regarding Credit Transfers will be made based on the documentation provided to the Professional Development Manager.



The PDM will review the documents and may confirm their authenticity by contacting the relevant RTO. The PDM will grant direct credit transfer if appropriate.

The PDM is required to document that credit has been given to a student on the basis of documents issued by other RTOs and note this on the relevant student's records. A copy of the assessor's document plus the copies of documents are to be placed on the relevant course and student files. AQF qualifications and Statements of Attainment unable to be verified will not be recognised and the student asked to provide further verifiable evidence if possible. Non-verified claims for credit transfer are to be recorded on the individual student's file, together with details of any requests for further information and/or suggestions undertaken.

For qualifications completed after 1 January 2015 GRCI will be able to access VET transcripts for the student using their individual Student Identifier and access the national database.

Results

All students are to receive their assessment feedback and result within 14 days of submission. On completion of the course requirements GRCI will issue either the Testamur and Record of results or a Statement of Attainment within 21 days.



Deferral, Suspend, Cancel or Transfer enrolment Policy & Procedure

SNR 17: Management systems are responsive to the needs of clients, staff and stakeholders, and in the environment in which the NVR registered training organisation operates.

SRT0: Standard 5 Each learner is properly informed and protected

SRT0 Standard 1.7 The RTO determines the support needs of individual learners...

Purpose

The Institute permits students to defer or temporarily suspend, cancel or transfer their studies, through formal agreement. This policy also details the circumstances where a student's enrolment may be deferred, suspended, cancelled or transferred by the Institute.

Definitions

Cancel enrolment	Terminate enrolment
Compassionate or compelling circumstances	Situations beyond the control of the student may be good reasons why a student needs special consideration. The following are examples of compassionate or compelling circumstances: Serious illness or injury, (a medical certificate must be provided stating that student is unable to attend class) Bereavement of close family members A traumatic experience such as witnessing a serious accident or crime A major political upheaval or natural disaster in the overseas distant learners home country
Defer studies	delay the commencement of studies
Suspend studies	put studies off for a period of time with the intention of resuming studies later
Transfer enrolment	change enrolment and fees paid to another student. This may occur where a corporate member or company enrolls an employee and then transfers that enrolment to another employee. Transfer enrolment may only take place before studies commence. The replacement student also must meet entry requirements

The following are grounds for suspension or cancellation of enrolment:

- Sexual harassment against staff or students or others
- Racial discrimination, vilification or bullying
- Intimidating staff or students or others
- Defaming the Institute or staff or students or others
- Criminal actions or is a risk of committing a criminal offence
- Cheating or Plagiarism
- Refusing to work in a safe, clean, orderly manner
- Being under the influence of drugs or alcohol to the point which creates an unsafe environment for staff or students or others and oneself
- Smoking at venues
- Failure to pay fees when due
- Failure to maintain appropriate course progress levels



A student who wishes to defer, suspend, cancel or transfer enrolment needs to complete the form: ANNEX I

Procedure

Prior to Enrolment

This policy and procedure is made available to prospective students as a downloadable Policies & Procedures Handbook.PDF from the GRC Institute's web site. Students must complete the: Defer suspend, Cancel, Transfer application form in ANNEX I at the end of this handbook and submit to education@theGRCinstitute.org

Where a student has applied for deferment or suspension of their studies due to compassionate or compelling circumstances, the Institute will assess the circumstances and grant or decline the student's request.

The college will only defer or temporarily suspend the enrolment of the student on the grounds of: compassionate or compelling circumstances or misconduct by the student. Students have the right to appeal any decision, generally made within 10 working days, made by the Institute.

If the student chooses to access the Institute's appeals process, the student's enrolment will be maintained until the internal appeals process is completed. (SRTO 2015: Standard 6)

If the student is not satisfied with the outcome of an internal appeal regarding deferment or suspension of studies they have the right to lodge a complaint with ASQA. Prior to this the Institute will endeavour to consider all reasonable requests as it is not in the Institute's best interest to have dissatisfied students but it is also not in the Institute's best interest to accept deferment or suspension of studies where it is not justified. However, the Institute will abide by any direction from ASQA.

Related documents (SRTO 2015: Standard 6):

Complaints and appeals application form

Complaints and Appeals

Deferral, Suspension, Cancellation or Transfer application form

Complaints and Appeals (SRTO 2015: Standard 6)

GRCI is dedicated to providing a high standard of service. Students who wish to pursue a concern in relation to the education and training services provided by GRCI are encouraged lodge an appeal or complaint using the following processes:

Appeals

Step 1: Students who are appealing an assessment outcome and/or the assessment process or an administrative matter should discuss their issue with the Trainer/Assessor involved who will attempt to resolve the issue immediately. Appeals may be made by email, phone or in person. If resolved it should be noted and placed in the student file and the complaints log.

(This step must commence within ten (10) working days of the assessment outcome being advised).



Step 2

If still not satisfied, the student must complete the *Complaints/Assessment Appeals Form - Part A* (refer ANNEX H) and forward to Professional Development Manager.

(This should occur within 5 working days of Step 1)

Step 3

For an assessment appeal it is to be reviewed by a different Assessor without reference to the original assessors marks or commentary and the results of the review summarised on the *Complaints and Assessment Appeals Form*. The student will be advised of the appeals outcome within 10 working days. If resolved the matter is to be documented on the appeals form, a copy supplied to the student, and noted in the complaints log (ANNEX H).

(This should occur within 10 working days of Step 2)

Step 4

If still not satisfied with the outcome of the appeal, the appeal is to be reviewed by the Managing Director. The Professional Development Manager will send an acknowledgement letter to you, record the receipt of the *Assessment Appeals Form*, then review. The Professional Development Manager if necessary will convene a review panel to thoroughly examine the appeal.

(You will be advised of the outcome within 10 working days).

Step 5

If the student is not satisfied with the outcome of an internal appeal they have the right to lodge a complaint with ASQA. Prior to this the Institute will endeavour to consider all reasonable requests as it is not in the Institute's best interest to have dissatisfied students but it is also not in the Institute's best interest to accept an appeal where it is not justified. However, the Institute will abide by any direction from ASQA. For ASQA complaints refer to the complaints form at <http://www.asqa.gov.au/complaints/making-a-complaint.html> or in writing to Locked Bag 21, Darlinghurst NSW 1300.

Complaints

First instance: Students are encouraged to speak immediately with their Trainer. If the student is not comfortable addressing the issue with the Trainer they are encouraged to contact the Professional Development Manager.

Second instance: If the issue is not resolved the student is encouraged to either speak to or contact in writing the Managing Director.

Third instance: If the matter is still not resolved an independent third party will be requested to assist with resolution. Third parties may include relevant training representative(s), legal representative(s) e.g. Anti-discrimination board or other relevant personnel.



Outcomes of complaints will be provided to the candidate in writing within 15 working days of the decision.

Fourth instance: If still not satisfied with the outcome of this procedure then the student will be advised of their right to contact the Australian Skills Quality Authority (ASQA) by completing the online complaints form at <http://www.asqa.gov.au/complaints/making-a-complaint.html>

If the student is not satisfied with the outcome of an internal complaint they have the right to lodge a complaint with ASQA. Prior to this the Institute will endeavour to consider all reasonable requests as it is not in the Institute's best interest to have dissatisfied students but it is also not in the Institute's best interest to act on an unjustified complaint. However, the Institute will abide by any direction from ASQA. For ASQA complaints refer to the complaints form at <http://www.asqa.gov.au/complaints/making-a-complaint.html> or in writing to Locked Bag 21, Darlinghurst NSW 1300.

Course fees and charges

All fees and charges for the delivery of vocational training and assessment services must be approved by the Managing Director prior to their publication, quotation to students or tender submission. Fees are available on GRCI's web.

All students are to be provided with a numbered invoice detailing all fees paid.

Where an employer is to be invoiced for services for his/her employees undertaking training, the invoice must clearly indicate the names of those employees for whom the invoice applies.

Students attending GRCI courses will be given the opportunity to apply for recognition of prior learning anytime prior to and/or during the course.

Students are required to prepare a portfolio of evidence to address the performance criteria of the competency standard for which they are seeking recognition. Refer Annex N for an example of an RPL portfolio.

A formal briefing may be provided to all RPL students to explain acceptable evidence, how the Portfolio works and the process in submitting for assessment. GRCI staff will be available to advise and assist with the preparation of the portfolio of evidence on request.

Students should contact the GRCI office to arrange collection of portfolios and set interview dates.

The assessment tool used for RPL can be found at Annex N.

A fee will be charged for the assessment.

Should the student be dissatisfied with the RPL determination, they may appeal. Refer Appeals Policy.



Industry Consultation (SRTO 2015: Standard 1)

GRCI will consult with industry on a regular basis to ensure that the training the organisation conducts is current and meeting industry needs.

Industry consultation includes the following ...

GRCI board of directors:

Directors determine the direction and focus of GRCI courses and they meet approximately 9 times per annum. Each board member has years of experience in GRC and are all qualified as industry consultants and experts in various aspects of GRC. Refer to board minutes for details on decisions.

Name	Board Title	Company	Position	Contact
Alf Esteban CCP	President	Protech Pty Ltd. A provider of GRC software products, service and training	Chief Executive Officer. Alf has an extensive background in both GRC business management and management of IT organisations. His past roles have included a 21 year career at IBM in Australia and internationally. He currently provides strategy, risk and compliance management consulting through his own management consultancy.	alf.esteban@thegrinstitute.org
Bronwyn Gallacher CCP	Vice president	CCL Consultants Providing compliance advice, economic advice, and training services in relation to competition and consumer laws across various jurisdictions.	Managing Director. In addition to consulting Bronwyn's background includes 10 years' experience working for the Australian Competition and Consumer Commission (ACCC) in a variety of roles. She has also worked as an academic tutor in economics at the University of South Australia.	bronwyn.gallacher@thegrinstitute.org
Kellie Powell CCP	Treasurer	Woolworths Limited	Compliance Framework Manager. Kellie is a highly experienced Compliance Manager, with more than 10 years' experience developing and maintaining merchandise, retail and other compliance frameworks.	kellie.powell@thegrinstitute.org
Martin Tolar CCP	Director	GRCI	Managing Director. Martin has over 10 years' experience in professional services and is the Chair of the ISO compliance working party developing an international compliance standard.	martin.tolar@theGRCInstitute.org
William	Director	Medibank Health	Senior Compliance Manager	willie.lewis@thegraci



Lewis CCP			Willie has extensive experience in compliance, process design/improvement, government lobbying and providing legal advice. He specializes in the financial, telecommunications government and insurance sector.	nstitute.org
Robert Ludlow AGRCI	Director	AON Australia/Pacific	Head of Compliance Robert is responsible for compliance across all Aon entities in Australia/Pacific. He also has over 10 years' experience in major crime investigation	robert.ludlow@thegrainstitute.org
Lois McCowan CCP	Director	RITEJAC Provider of compliance, risk, corporate governance, related training & project management	GRC and Project Management Integration Consultant. Lois has extensive experience in financial planning, superannuation, compliance and risk management, training and coaching, strategic and project management	lois.mccowan@thegrainstitute.org
Carolyn Hanson CCP	Director	Westpac	AML/CTF Sanctions Manager Carolyn has led, developed and coordinated Compliance and Anti Money Laundering programs and trained in over 20 countries for international financial institutions.	carolyn.hanson@thegrainstitute.org
Stephen Luk	Director	AIA Group	Head of Group Investment Compliance Stephen is responsible for the overall compliance management support of AIA investment activities across the group.	stephen.luk@hegrainstitute.org



Industry Principal Members:

Principal members influence advocacy and regulatory policy decisions within GRCI which in turn influence course revisions. Principal members also support their own staff by subsidising or paying for them to complete GRCI courses as part of their Continuous Professional Development. Principal member staff account for approximately 20% GRCI enrolment who attend GRCI courses fully paid by their employers



Accreditation and Education Committee:

Committees also determine the direction and focus of GRCI courses and they meet approximately 4 times per annum. The AEC oversees all educational course including RTO accredited courses. Each committee member has years of experience in GRC and are all qualified as industry consultants and experts in various aspects of GRC. Some members are also board members or represent GRCI principal members listed above. Refer to committee minutes for details on decisions.

Name	Committee Title	Company	Position	Contact
William Lewis CCP	Chair	Medibank Health	Senior Compliance Manager Willie has extensive experience in compliance, process design/improvement, government lobbying and providing legal advice. He specializes in the financial, telecommunications government and insurance sector.	willie.lewis@hegrcinstitute.org
Robert Emery CCP (Fellow)	Member	Bupa Australia. Insurance	Risk & Compliance Head. 20 years as a compliance and risk management specialist	robert.emery@mbf.com.au
Martin Tolar CCP	Member	GRCI	Managing Director. Over 10 years' experience in professional services and is the	martin.tolar@theGRCInstitute.org



			Chair of the ISO compliance working party developing an international compliance standard	
Stuart Clarke	Member	AMP	Manager, Compliance – Group Risk Management.	Stuart_Clarke@amp.com.au
Justin Lucas	Member	Rebel Sport	Compliance & Product Assurance Officer Responsible for Rebel Group compliance program and product assurance over more than 100,000 product lines	jluca s@rebelgroup.com.au
Sylvia Aloizos CCP (Fellow)	Member	Kmart Tyre and Auto Service	Compliance Manager Senior compliance expert with background in insurance law and general risk management. Also an experienced project manager with specialist understanding of relevant major regulatory changes including (AML/CTF) and Privacy laws	sylvia.aloizos@kmart.com.au
Anne Heilman-Ingليس CCP (Fellow)	Member	Newcastle Permanent Building Society	Compliance Specialist in the area of Ethics, enforceable undertakings, framework design and project management. She has worked in various sectors like Banking, Insurance, Asset Management and Real Estate etc.	anne.heilmaninglis@newcastlepermanent.com.au
Fiona Hooymans (CCP)	Member	ASX	General Manager, Participants Compliance Extensive experience in Compliance, Risk and Governance. Has previously worked with UBS.	fiona.hooymans@asx.com.au

Industry Audit and Risk Committee

In conjunction with the AEC the IARC determines the direction and focus of GRCI's direction which also impacts on education courses. They meet approximately 4 times per annum. The IARC recommends to the board advice and position on all matters to do with GRC. Each committee member has years of experience in GRC and are all qualified as industry consultants and experts in various aspects of GRC. Some members are also board members or AEC members listed above. Refer to committee minutes for details on decisions.



Name	Committee Title	Company	Position	Contact
William Lewis CCP	Member	Medibank Health	Senior Compliance Manager Willie has extensive experience in compliance, process design/improvement, government lobbying and providing legal advice. He specializes in the financial, telecommunications government and insurance sector.	willie.lewis@hegrcinstitute.org
Bronwyn Gallacher CCP	Member	CCL Consultants Providing compliance, economic, and training services in competition & consumer laws across various jurisdictions.	Managing Director. In addition to consulting Bronwyn's background includes 10 years' experience working for the Australian Competition and Consumer Commission (ACCC) in a variety of roles. She has also worked as an academic tutor in economics at the University of South Australia.	bronwyn.gallacher@hegrcinstitute.org
Robert Ludlow AGRCI	Member	AON Australia/Pacific	Head of Compliance Robert is responsible for compliance across all Aon entities in Australia/Pacific. He also has over 10 years' experience in major crime investigation	robert.ludlow@thegrcinstitute.org
David Morris	Member	AMP Services NZ Ltd.	Regulatory Compliance Specialist	david_morris@amp.co.nz
Stephen Luk	Member	AIA Group	Head of Group Investment Compliance Stephen is responsible for the overall compliance management support of AIA investment activities across the group.	stephen.luk@hegrcinstitute.org
Martin Tolar CCP	Director	GRCI	Managing Director. Martin has over 10 years' experience in professional services and is the Chair of the ISO compliance working party developing an international compliance standard.	martin.tolar@theGRCinstitute.org



Industry Advocacy Submissions

GRCI works with members of GRCI (industry representatives from Principal Members and GRCI membership) to create working groups of industry specialists that communicate their compliance, risk and governance concerns and issues across a range of industries. The results of these working parties impact on development of training materials. For a complete list of Industry Advocacy submissions refer to web SUBMISSIONS and ARCHIVED SUBMISSIONS tabs. Recently submissions include the following.

- CAMAC Managed Investments Scheme Consultation September 2011
- FOFA Tranche Two
- Submission to Assistant Treasurer, Bill Shorten, for a compliance education fund.
- Finance Crime Section, Attorney General's Department - in response to its call for comment on proposed measures to amend allowances for facilitation payments
- ASIC CP 171 - Review of Regulatory Guide 79 Managing Conflicts of Interest
- Department of Agriculture, Fisheries & Forestry on proposed reforms of the Agricultural and Veterinary Chemicals Legislation Amendment Bill
- Attorney General's Department - Anti-Corruption Plan GRCI believes that a significant amount of work is still required if a comprehensive and effective plan is to be developed that is integrated into all three tiers of government.
- Personal Liability for Corporate Fault Reform Bill 2012 (the bill) GRCI appreciates the difficulty faced by company directors in assuming responsibility for ensuring all aspects of an organisation's conduct when in many cases it is the CEO (or equivalent) and senior management that holds greater sway over the culture of the organisation; their day to day operations; and the resulting compliance and risk outcomes
- New Zealand Commerce Select Committee: Financial Markets Conduct Bill

Industry Advocacy Engagement

GRCI actively organises and participates in open discussions and regulator engagement to advocate balanced regulation for members and their organisations. GRCI Managing Director conducted a series of meetings with regulators in Australia, Hong Kong, New Zealand and Singapore, and participated in a selection of committees to communicate member feedback. Work continued to move forward on the development of an international compliance standard following funding granted by the Commonwealth in 2010/11. The project has drawn support from 21 countries. In late 2012 GRCI began working closely with Standards Australia to provide direct feedback to the International Organisation for Standardisation (ISO) around the AS/NZS 3806 standard on which the new standard will be based. Work will continue on this important project over the next three years and it is envisaged those organisations already trained and using the AS/NZS 3806 compliance standard stand to gain a competitive edge in the international business arena once the international standard is finalised. With finalisation GRCI will act to incorporate new international compliance standards in their courses.

Industry Strategic Partner

GRCI has close links with the Australian Risk Policy Institute (ARPI)

ARPI provides consultation and expert services through a number of publications and policies. ARPI's partners list refers to GRCI as "The GRC Institute (formerly ACI) is the leading association for over 2,500 compliance and enterprise risk management professionals across the Asia Pacific region, with a strong focus on the development of business governance practices that support the achievement of an organisation's objectives. "



Industry Skills Councils

In creating Accredited Courses GRCI draws on the expertise of various Industry Skills Councils and selects relevant competencies from the following Training Packages to create Accredited Courses. Currently all below ISCs are engaged in reviewing GRCI's proposed Graduate Certificate in Enterprise Risk Management which will be submitted to ASQA by the end of 2014.

Manufacturing Industry Skills Council / Manufacturing Skills Australia (MSA)

Training Packages: MSA07 Manufacturing Training Package
MSS11 Sustainability Training Package

Innovation & Business Skills Australia (IBSA)

Training Package: BSB07 Business Services Training Package
FNS10 Financial Services Training package

Government Skills Australia (GSA)

Training Packages: PSP12 Public Sector Training Package

Industry Council Networking Partner: Manufacturing Skills Australia

MSA-GRCI have established an informal networking agreement

MSA will provide

- free resources supporting units of competency used in GRCI courses
- workshops for GRCI trainers on updated units and the inclusion of LLN in new units

GRCI will provide

- Feedback to MSA as a networking partner on implementing units of competency
- ISO updates and compliance recommendations that may be relevant to MSS units

Professional Development (SRTO 2015: Standard 1.21, 1.23, 1.24)

GRCI arranges professional development to continuously develop the skills and knowledge of its trainers and assessors –refer to Trainer/assessor Matrices

GRCI will establish and verify that its trainers and assessors meet national benchmark competency requirements and continue to develop their competence by:

- supporting them in meaningful engagement with industry and relevant professional bodies
- supporting their professional development in teaching and learning methods
- supporting their attendance at professional conferences as presenters or participants

Evidence of improvements will include records of professional development undertaken by staff and included in their staff portfolio



Trainers and Assessors (SRTO 2015: Standard 1.21, 1.23, 1.24)

GRCI will ensure that training is delivered and assessments are conducted, by staff who have:

- TAE40110 Certificate IV in Training and Assessment (SNR and SRTO require a minimum skills set for assessment)
- current knowledge and skills in assessing against the relevant training package has shown by currency in experience and qualifications
- current knowledge of the relevant training package
- current knowledge of the Australian Qualifications Framework (AQF) particularly the distinguishing features of each qualification level,
- current knowledge of the SNR and SRTO 2015
- current training and assessment practices,
- necessary interpersonal and communication skills including knowledge of language, literacy and numeracy issues in the context of assessment, and
- the required credentials if the qualification or units of competency are being delivered to meet a regulatory or licensing requirement. In some cases licensing authorities require trainers and assessors to have qualifications higher than those they are training and assessing.

GRCI will verify evidence of competence by:

- carrying out referee checks and
- sighting original (or certified copies) of qualifications.

GRCI will maintain the following records:

- verified copies of qualifications of all trainers/assessors and their verified CVs
- records that show how the competency of each trainer/assessor meets the requirements of the competencies they are delivering and assessing (for example, mapping documents)
- CPD plans for each trainer/assessor
- 6 monthly updates of CV showing currency of work experience and professional development currency

Supervision of Trainers and Assessors (SRTO 2015: Standard 1.17 to 1.20)

Where a trainer doesn't meet the criteria above GRCI will have a clear arrangement in place to ensure a supervising trainer provides regular guidance, support and direction to the supervised trainer. The supervised trainer must complete a staff induction and TAE to be fully qualified to train unsupervised.

Direct supervision applies to a staff member who:

- delivers or assesses training but does not hold the TAE40110 Certificate IV in Training and Assessment (but may have an earlier version such as TAA40104 Certificate IV in Training and Assessment or BSZ40198 Certificate IV in Assessment and Workplace Training and are undergoing an



upgrade course to TAE)

- is not able to demonstrate the equivalent competencies.

Direct supervision can be provided by a trainer/assessor who holds the appropriate training competencies. The supervising trainer/assessor is accountable for the training/assessment conducted under direct supervision but it is not necessary for the supervisor to be present during all training delivery. It is necessary, however that the supervisor check or co-assess all assessment activities.

The role of a supervisor is to:

- provide guidance, support and direction in relation to the delivery and assessment process
- conduct an initial meeting to review the training and assessment material
- discuss strategies to support specific students
- conduct subsequent meetings to review amended training and assessment material
- conduct meetings on a regular basis to review training and assessment conducted
- monitor delivery (by observation and feedback) and assessments (by reassessing, comparing and discussing)
- check compliance with the SNR requirements

GRCI will maintain records of supervision arrangements being implemented (for example, meeting notes, emails). GRCI will require its staff to upgrade or complete the new qualification within 12 months.

Teach Out and Transition Policy & Procedure

Compliance Requirements

SNR 25: Transition to Training Packages/expiry of VET accredited course

ASQA: General Direction – Transition and teach-out (2014)

SRT0 2015: Standard 1.26 and 1.27

Definitions

ASQA: Australian Skills Quality Authority

Current Student: a student who has commenced training and/or assessment in a VET course as at the date the VET course replacement is published on the national register (training.gov.au)

Deleted: when a qualification or unit of competency is removed from a training package without being replaced by another qualification or unit of competency, the qualification or unit is referred to as a 'deleted training package qualification' or 'deleted unit of competency'.

Genuine disadvantage: must be evidenced from the perspective of each affected student, not simply the convenience of the RTO. Genuine disadvantage assumes that the disadvantage to the student outweighs the advantage to the student being enrolled in and receiving the most current qualification upon completion. Below are situations that may result in a student experiencing genuine disadvantage and should be read in the context of the later 'principles underpinning the direction. This list is not intended to be exhaustive:



- a requirement to undertake additional units of competency
- a fundamental change in the structure or content of a training program
- a significant change in training venue or delivery mode
- an extension to the enrolment period
- an additional financial expense

National register: <http://training.gov.au/>

RTO: ASQA registered training organization

New student: a student who has not commenced training or assessment in a VET course as at the date the training product's replacement is published on the national register

Superseded: when a new training package qualification or accredited course replaces an existing qualification, the existing qualification/accredited course is referred to as a 'superseded'. This rule also applies to units of competency that may be 'superseded'.

Teach-out: allowance to complete training, assessment and qualification/accredited course issuance of current students in an inactive VET course, following expiry of any applicable transition period of the VET course's replacement. In SRTO 2015 this is defined as

"...all learners' training and assessment is completed and the relevant AQF certification documentation is issued within a period of one year from the date the replacement training product ..."

Transition: all actions required to change the delivery operations of an RTO from an existing training product to a replacement endorsed/accredited training product; including resourcing, registration and transfer of students.

Principles

- When assessing compliance with SNR/SRTO 2015, ASQA will apply an overarching principle that a student is entitled to receive the current (endorsed or accredited) training product, unless the student would be genuinely disadvantaged in transferring to that product under the prescribed transition arrangements. In these cases, an RTO is permitted a further period to teach-out the student in his/her existing qualification, but must be prepared to demonstrate, upon request, how the student would have experienced genuine disadvantage if made to transition earlier. A student must not continue training in any qualification, accredited course or unit of competency beyond the combined transition and teach-out periods under any circumstances.
- An RTO must apply to have a new training package qualification, unit of competency and/or accredited course added to its scope of registration (by submitting an [Application to change RTO scope of registration](#) or [Application for accreditation form with the Accredited course form](#), accompanied by the required fee), if it wishes to deliver the new product. Approval of this application must be recorded on the national register (training.gov.au) before the RTO can commence delivery.
- RTOs must ensure that students are not enrolled in qualifications/courses that adversely affect their opportunities for employment and/or future study pathways.
- An RTO must provide timely and adequate advice and guidance to current students if the qualification or course in which they are enrolled is superseded/deleted/expired and ensure students are given the opportunity to transfer to replacement training package qualifications course or accredited courses or other currently endorsed training packages or accredited courses. Transfer of students must be undertaken in collaboration between the student and the RTO. Current students must not be required to transfer to new training package qualifications or new accredited courses where the genuine disadvantage to them in doing so would outweigh their continued training in, and issuance with, a qualification or statement of attainment for a superseded or deleted training package qualification or superseded or expired accredited courses.
- An RTO does not need to apply to ASQA to teach-out a training package qualification, unit of competency or accredited course in accordance with this general direction and inline with the



standard outlined in Standard 1.26.

- The following table sets out the arrangements for transition and teach-out to guide RTOs in managing their obligations when training packages and accredited courses are replaced, deleted or expired.

Transition arrangement including teach-out procedure and provisions

	Transition arrangements			Teach-out provisions
	RTO registration	Continuing Students	New Students	
Superseded 1. Training package qualification or 2. Accredited course or 3. Superseded unit of competency	<p>If a training package qualification or accredited course on scope has been superseded then a transition application for the new training package qualification or accredited course will be submitted to ASQA if applicable. NOTE: ASQA may allow transition without a submission.</p> <p>In the case of a superseded unit it will be replaced within the course/qualification and implemented with the next cohort. Application to ASQA is no longer required</p>	<p>Where practical students will be transitioned to the new qualification ie where the units are substantially the same.</p> <p>Where this is impractical and disadvantages students the Institution will follow the 'teach-out' policy. Teach out would be for 12 months to complete the qualification</p>	<p>Once a replacement qualification or course or unit of competency has been added to scope new students will be enrolled in the new qualification or course.</p>	<p>The Institution may continue to deliver training and assessment and issue awards to current students of the superseded qualification or course who would have been genuinely disadvantaged if required to transfer to the replacement qualification, for up to 12 months after the expiry of the qualification or course. Where necessary the Institution may apply to extend the teach out period a further 6 months to assist any students who may have been deemed NYC (max 18 months after expiry)</p> <p>Students who have not completed a superseded qualification within 12 months may be transferred to the new qualification under RPL or credit transfer arrangements at the Institution or another institution.</p> <p>Except to replace a testamur issued by the Institution previously, the Institution will not issue an AQF testamur to a student for a qualification that was superseded more than 12 months ago.</p> <p>During the teach-out period, the Institution will not enrol students and/or commence delivery in the superseded qualification or course</p>

Steps in teach out of expired qualifications and transition to new qualification

- Notification from the national register (training.gov.au) of units or qualifications being superseded (date of expiry of qualifications is listed on scope)
- Prior to expiry the Institution will arrange addition to scope of the new qualification by either



- a. Do nothing if ASQA has indicated that transition will be automatic OR
 - b. Apply for addition to scope through a transition application (typically where the new qualification is substantially the same as the old) OR
 - c. Apply to add the new qualification to scope (typically where the new qualification is substantially different)
- NOTE: where (b) or (c) is not known the Institution will apply under (b) and ASQA will notify typically within 2 weeks if (c) applies.
- 3. Once the new qualification is on scope continuing students will be notified via email by the Professional Development Manager or the RTO Manager, and by mail, that they will either
 - a. Continue their training under 'teach out' of the old qualification in the Cert IV in Compliance Management or the Grad Cert in Compliance Management
 - OR
 - b. Continue their training but 'transition' to the new qualification as it is substantially the same or would have little disadvantage to students to do so
 - 4. The Professional Development Manager or the RTO Manager in collaboration with trainer/assessors are to ensure that the new cohort (under 'teach out' or 'transition') modify or create documentation for the new course. This includes mapping of new units to assessments
 - 5. Under 'teach out students' will receive the applicable expired testamur, records of results or statement of attainment. Under 'transition' they will receive the new versions

Associated Documents

Defer Cancel Suspend P&P

Responsibilities

The Professional Development Manager or the RTO Manager is responsible for implementing this policy.

Policy endorsed by: Maree Hurley, Professional Development Manager

Teachout and Transition P&P version:

Date	Version number	Description of amendment	Authorised officer	Review date
Sept 2014	V1	Add to P&Ps	John Saunders	Jan 2015
Oct 2014	V2	Update in line with SRTO 2015	John Saunders	Jan 2015



Policies and Procedures Amendments:

Date	Version number	Description of amendment	Authorised officer	Review date
2009-2013	V1 to v1.9	ACI P&P revisions	Maree Hurley	Dec 2013
Dec 2013	V2	ACI P&P revisions	Maree Hurley	April 2014
April 2014	V3	Rationalise P&Ps and update to GRCI	John Saunders	Sept 2014
Oct 2014	V4	Update for SRTO 2015	John Saunders	Jan 2015

Document Path

X:\1. Education\1. Registered Training Organisation (RTO)\6. Handbooks and Policies & Procedures\GRCI Policies and Procedures Handbook V4 transition.doc



ANNEX A: RECEIPT of the P&P HANDBOOK and other DOCUMENTATION

GRCI sends emails and attached PDFs of various documents to staff. Students are expected to access documents from the web. Any changes and notifications will be sent to staff and student email addresses. This includes notifications regarding documents, including this P&P handbook, Staff or Student Handbook, assessments, instructions regarding submission etc.

By sending documents to a registered email address GRCI accepts that the documents have been received.

Students and staff should notify GRCI if their email address changes.

education@thegrinstitute.org



ANNEX B: PROBLEMS/COMMENTS/RECOMMENDATIONS FOR CHANGE

This page is designed to provide you with the opportunity to comment on the layout and content of this handbook. If you note any errors or have any suggestions to improve the handbook, please complete this form and return it to:

Maree Hurley, Professional Development Manager, maree.hurley@theGRCInstitute.org

John Saunders, RTO Manager, john.saunders@theGRCInstitute.org

Level 1 / 50 Clarence Street, SYDNEY NSW 2000

GPO Box 4117, SYDNEY NSW 2001

Is the information contained in the handbook easy to find? Yes No

Comments:

Is the format of the handbook suitable? Yes No

Comments:

Is there any further information that should have been included in this handbook? Yes No

If yes, please specify:

Is there any information within the handbook that is not relevant? Yes No

If yes, please specify:

Do you have any additional comments or suggestions?



ANNEX C:

This annex is deliberately blank



ANNEX D: VENUE REQUIREMENTS CHECKLIST

TRAINING ROOMS

Before a venue is selected for training a GRCI staff member or a trainer will use the following checklist to verify the suitability of the training venue.

Tick	Item	Comment
	Standard access or	
	Wheelchair access	
	Accommodation	
	Disabled facilities	
	Fire escape	
	Fire extinguisher	
	First Aid kit	
	Toilets	
	Workplace Health and Safety Requirements	
	Seat, tables	
	Catering	
	Training facilities -function -serviceable	
	White board, smart board markers	

Inspected by _____ Date: _____



ANNEX E: STUDENT INDUCTION CHECKLIST

The following is used by trainers and a GRCI staff member (either MD, PDM or the MM) at the beginning of the first training session

Content	Details	Reference
Introductions	Introduce students to teaching staff	Informal introductions
Introduction to the Company	Company history Company Vision	
Training Packages	<ul style="list-style-type: none"> • Introduction to Training Packages, • Assessment instruments and process, • Students notes and handouts, and • Administration procedures 	Advice to students

Facilities

Content	Details	Reference
Toilet facilities	Location of facilities. Any rules regarding the use of locker rooms or other areas where students may store belongings during the day	Layout of building
Morning tea Lunch Afternoon tea	Location of facilities. Any rules regarding the use of the rooms	
Smoking Regulations	When and where smoking is permitted	No smoking policy
Public Transport, Car Parking	What transportation is available and car parking details	

Course Schedule and Management Procedures

Content	Details	Reference
Timetable	Lesson plan, starting and finishing times, breaks	
Attendance Sheets		



Content	Details	Reference
Assignments and Assessment	Requirements for submission Marking procedure Late submissions	Policies and Procedures Handbook
Absences		

Workplace Health and Safety

Content	Details	Reference
Accident procedures	Use of accident report form or logbook, Importance of having all injuries treated and recorded	Accident form or log book
First aid facilities	Location of first aid box, and Location of trained first aid staff	Map of premises with relevant areas marked
Fire drill and alarm	What to do in the event of a fire, Location of fire alarms and how they will be activated, and Where to assemble after evacuation of premises	Have emergency numbers located next to all telephones Mark assembly location on the map of the premises and surrounding area
Fire extinguishers	Location of extinguishers	Mark location on the map of the premises
Emergency exits	Point out location of emergency exits and stairs	Mark location on the map of the premises
General behaviour	Discuss acceptable and non-acceptable behaviour including sexual harassment	Policies and Procedures Handbook

Start Date of Training Course _____

Signature: _____ Date: _____

Name of person responsible for induction: _____



ANNEX F: VERSION CONTROL REGISTER

A register was in use until 2014 but has been replaced by version control within each document using:

- 2. Footer details –e.g. refer to footer below
- 3. Tabled changes at the end of the document e.g.

Date	Version number	Description of amendment	Authorised officer	Review date
2009-2013	V1 to v1.9	ACIP&P revisions	Maree Hurley	Dec 2013
Dec 2013	V2	ACIP&P revisions	Maree Hurley	April 2014
April 2014	V3	Rationalise P&Ps and update to GRCI	John Saunders	Sept 2014

- 4. File or document path to the server, e.g. X:\1. Education\1. Registered Training Organisation (RTO)\6. Handbooks and Policies & Procedures\GRCI Policies and Procedures Manual V3.21.doc

To check version control prior to 2014 refer to

X:\Education\1. Registered Training Organisation (RTO)\6. Handbooks and Policies & Procedures\0. GRC Institute Policies and Procedures\Archive ACI and GRC P&P Handbook\Archive Old Policy



ANNEX G: REVIEW OF ASSESSMENT

Course: _____

Assessment Details: _____

Date of Original Assessment: _____

Student Name: _____ (Student No) _____

Original Assessor: _____

Please attach copy of Original Marker's Completed Assessment Cover Sheet.

Original Assessment: _____

Date: _____

Moderator's Name: _____

Assessment: _____

Moderator's Comments on Original Assessor's Comments and Feedback:

Further Action (if required):

Action Completed:

Admin Manager: _____ Date: _____



ANNEX H: COMPLAINTS AND APPEALS LOG

Refer to final page

ANNEX I: Defer Cancel Suspend Transfer Application and Confirmation Letter

Application to Defer, Suspend or Cancel Enrolment

Please refer to the Defer, Suspension, Cancellation section in the Policies & Procedures Handbook before completing this application.
 Submit by email to: education@thegrainstitute.org
 Or by hand or letter to: Professional Development Manager, GRCI, Level 1 / 50 Clarence St, Sydney NSW 2000

OFFICE USE: Date Received: _____ Signed: _____
--

Student details			
Given name/s	USE BLOCK LETTERS	Family name	USE BLOCK LETTERS
Student Number		Contact Phone	
email	USE BLOCK LETTERS	Date	
Request (refer to definitions below)	I request the following (choose one only)		
	<input type="checkbox"/>	Defer	Original start date _____ Requested start date _____ (check available course dates)
	<input type="checkbox"/>	Suspend	Start suspension date _____ Resume studies date _____ (check suitable course dates)
	<input type="checkbox"/>	Cancel	Date of cancellation _____
<input type="checkbox"/>	Transfer	Name of replacement student _____	
NB: the Replacement student must meet entry requirements			

Definitions

Defer enrolment: Defer means to DELAY the start of the course. This applies to students who have not started their course and wish to start at a later date.

Suspend enrolment. Suspension means taking a leave during the studies. This applies to students who want to suspend their studies for a period of time and then resume studies at a later date.

Cancel enrolment. Cancellation means terminating studies. This applies to students who no longer wish to complete their course. Note: a better option may be to consider "suspend" as it is an open ended option.

Transfer means to change enrolment and fees paid to another student BEFORE studies commence

Reason for request

List evidence supporting the request (e.g. medical reasons, compassionate grounds, family issues etc)
 Attach copies of evidence where appropriate.

Declaration

I, (name) _____, declare that the above information is correct and I acknowledge that a decision will be made based on GRCI's Defer, Suspend Cancel Transfer policy and procedures and that I can appeal any decision.

Student signature: _____ Date _____

OFFICE USE:				
	Authority position & name	Explanation	Sign	Date
Decision	MD/PDM/RTOM	Approved/Not approved Reason not to approve:		
Notify student	Admin	Via email using the <i>Confirmation Letter</i> and attach copy of this document.		
Certificates issued if applicable	MD/PDM/RTOM	Required where competencies have been achieved as noted in the <i>Confirmation Letter</i> for cancellation or suspension where competencies have been completed. Not applicable to deferment.		

Sample letter confirming student application to Defer/Suspend/Cancel



99 Month 2014

GivenName FamilyName
99 Risk Street
Governance WA 9999

EMAIL: Xxxxxx@gmail.com
Student number: 99999999
Course Name: Certificate IV Compliance Management

Dear Xxxxxxx,

Thank you for your Application to CANCEL/DEFER/SUSPEND studies. Your application has been approved and your enrolment has been amended as follows:

Training and/or financial outcomes apply as follows.

Financial outcome:

A refund has calculated as follows

You have already commenced the course and, as per the policies and procedures handbook, you are not entitled to a refund

Training outcome:

You will / will not incur competent for the following enrolled units.

BSBXXX999: Manage xxxxxxxx

FNSxxx999: Financial risk xxxxxxxx

And you will/not be entitled to a *Statement of Attainment*

We wish you all the best in the future.

Kind regards,

Name
position
email

ANNEX J: EXAMPLE COURSE TESTAMUR and RECORD OF RESULTS



Head Office: Level 1, 50 Clarence Street, Sydney NSW 2000 | Ph: 02 9290 1788 | Web: www.thegrcinstitute.org

RTO: 91640

This is to certify that

Student name

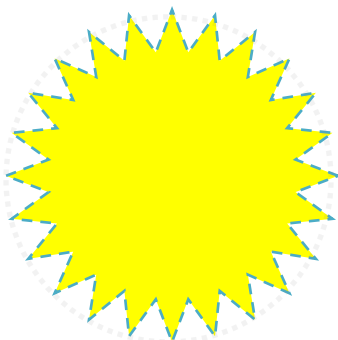
Student number: 123456
note SI is not to be included as per SRT0 Schedule 5.3

has fulfilled the requirements for

Certificate IV in Compliance Management 91516NSW

Martin Tolar
Managing Director

Date issued: 7 April 2014
Certificate Number 987654



NATIONALLY RECOGNISED
TRAINING

Issuing Organization: GRC Institute | ABN: 42 862 119 377
This qualification certified herein is recognised within the Australian Qualifications Framework.

ANNEX J cont/ -: EXAMPLE RECORD OF RESULTS



Head Office: Level 1, 50 Clarence Street, Sydney NSW 2000 | Ph: 02 9290 1788 | Web: www.thegrcinstitute.org

RTO: 91640

Record of Results

Student name

Student number: 123456

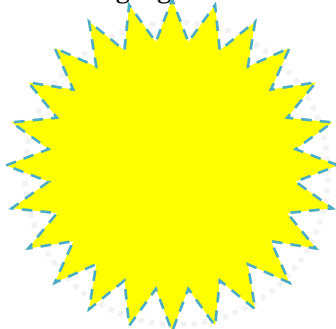
Graduate Certificate in Compliance Management

Units Attained	
FNSPRAC701B	Prepare, supervise and monitor application of practice guidelines
BSBCOM603B	Plan and establish compliance management systems
MSACMG703A	Analyse process changes
MSACMG712A	Lead a problem solving process to determine and solve root cause
PSPMNGT608B	Manage Risk
PSPMNGT703A	Lead and influence change
PSPMNGT701B	Provide strategic direction
PSPMNGT704A	Undertake enterprise risk management
PSPREG701A	Manage investigations program
MSACMG701A	Prepare for and implement change

These competencies were attained in completion of the Graduate Certificate in Compliance Management 91517NSW

Martin To lar
Managing Director

Date issued: 7 April 2014



NATIONALLY RECOGNISED
TRAINING

Issuing Organization: GRC Institute | ABN: 42 862 119 377

A Record of Results is issued when an individual has satisfactorily completed a nationally recognised qualification/course.

ANNEX K: EXAMPLE STATEMENT OF ATTAINMENT



Head Office: Level 1, 50 Clarence Street, Sydney NSW 2000 | Ph: 02 9290 1788 | Web: www.thegrainstitute.org

RTO: 91640

Statement of Attainment

This is a statement that

Student Name

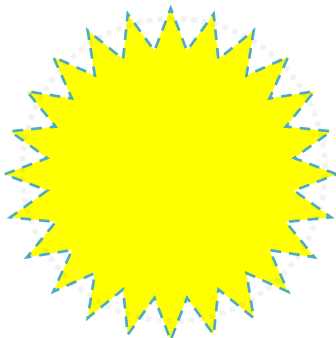
Student number: 123456

has attained

Units Attained	
BSBCO M403B	Provide education and training on compliance requirements and systems
PSPMNG608B:	Manage Risk
PSPREG701A:	Manage Investigations program

Martin Tolar
Managing Director

Date issued: 7 April 2014



NATIONALLY RECOGNISED
TRAINING

Issuing Organization: GRC Institute | ABN: 42 862 119 377

A statement of attainment is issued when an individual has satisfactorily completed one or more accredited units. These competencies form a part of 91516NSW Certificate IV in Compliance Management.

For further information, please call +612 9290 1788.

ANNEX L: EXAMPLE 1 STUDENT EVALUATION FORM

CERTIFICATE IV in Compliance Management 91516NSW

Course Date: _____

Student Name (optional): _____

This form will be used to ensure that we are providing the most appropriate learning environment and that the training is suitable to participant and GRCI's program needs. Please tick a box for each question 1 means "strongly disagree" 5 means "strongly agree"	1	2	3	4	5
	Strongly disagree				Strongly agree
CONTENT					
The material was relevant to me particularly in the context of my work					
The session was at the right level for me					
COURSE MATERIALS					
The course materials were well presented					
The materials contained a good combination of written and illustrated examples					
Information and ideas were well presented and communicated					
APPLICATION					
The balance between the amount of theory and practice was appropriate					
The course modules and assessment activities helped me to understand the concepts					
I can apply these skills when I return to work					
CASE STUDIES/FACT SHEETS					
The case studies used were helpful and a good way to learn					
COURSE ORGANISATION					
The venue was appropriate					
The course was well organised					
The facilitator was helpful					
The enrolment and payment process was simple and effective					

I give permission for GRCI to use any comments I make below for marketing purposes.

Please provide any comments/feedback on this course:

ANNEX M: EXAMPLE 2 STUDENT EVALUATION FORM

GRADUATE CERTIFICATE in Compliance Management

Student Name (OPTIONAL): _____

This form will be used to ensure that we are providing the most appropriate learning environment and that the training is suitable to participant and GRCI's program needs. Please tick a box for each question 1 means "strongly disagree" 5 means "strongly agree"	1	2	3	4	5
	Strongly disagree				Strongly agree
CONTENT					
The material was relevant to me particularly in the context of my work					
The session was at the right level for me					
COURSE MATERIALS					
The course materials were well presented					
The materials contained a good combination of written and illustrated examples					
Information and ideas were well presented and communicated					
APPLICATION					
Module 1: This session was valuable to me					
Module 2: This session was valuable to me					
Module 3: This session was valuable to me					
Module 4: This session was valuable to me					
The balance between the amount of theory and practice was appropriate					
The course modules and assessment activities helped me to understand the concepts					
I can apply these skills when I return to work					
CASE STUDIES/FACT SHEETS					
The case studies used were helpful and a good way to learn					
COURSE ORGANISATION					
The venue was appropriate					
The course was well organised					
The facilitator was helpful					
The enrolment and payment process was simple and effective					

I give permission for GRCI to use any comments I make below for marketing purposes.

Please provide any comments/feedback on this course:

ANNEX N: RECOGNITION OF PRIOR LEARNING

APPLICATION FOR RECOGNITION OF PRIOR LEARNING

Name _____

Address _____

City/Suburb _____ Postcode _____

Home Phone _____ Mobile _____

Recognition of Prior Learning assesses the skills and knowledge you have learned in previous situations and applies them specifically to the modules /competencies of the course you are hoping to achieve accreditation in.

Relevant knowledge/skills can come from a number of different areas.

Examples: TAFE, College, University & Industry Courses; Private Training Providers; Work Experience and Life Experience

Complete the following forms by providing details of your prior learning in relation to the course you are applying for. Give as much information as possible to allow the assessor to determine whether your previous training etc, meets the expected learning outcomes of the modules/competencies that you have nominated.

I am seeking RPL for the following:

Course Name _____

Modules/Competencies _____

RECOGNITION OF PRIOR LEARNING - INTERVIEW INFORMATION

What's the Interview for?

- It gives you the opportunity to present your information in person.
- It gives the assessor the opportunity to talk to you in person about your skills and experience.
- You can get assistance with filling out the forms and ensure that you provide the correct information that may help with your RPL assessment.

Further Assessment?

- Sometimes further assessment may be required. The assessor will advise what else is needed and discuss with you the best way for you to supply this.
- Further assessment may be made up of the following:

Practical demonstrations
Oral & Written tests
Further documentation

What Happens at the Interview?

- You will be asked questions about your previous training and work experience.
- The assessor will discuss your application with you and will help you to remember more information than you have already provided relating to the course you will be doing.
- The assessor will be taking detailed notes to assist in the decision making process.
- You may be asked to undertake some form of further assessment before a decision can be made (see further assessment section).
- You will be able to ask questions or for clarification at any time throughout the interview.

After the Interview?

- The interview will normally take anything from an hour to half a day. The assessor would not normally advise you of any decision during the interview.
- You will be notified of this as soon as possible usually within a few days.
- There are a number of different outcomes which can result from the interview such as: -
- All or part of your request for RPL will be granted, in which case the length of your course will be shortened or classroom time reduced.
- Your request will be denied and you will have to complete all course competencies. If this happens you are entitled to appeal the decision.
- Or further assessment will be required.

What Will I Need To Take?

- Proof of completion of any courses that are relevant to the course competencies.
- Certificates must be originals or certified true copies
- References from previous employers
- Testimonials, Statements of Attainment, etc.
- Anything that will help the assessor validate your previous skills & experience.

Things to Remember...

- Supply as much relevant information as possible.
- The assessor is there to help you gain RPL, not hinder you any way.
- Ask for as much clarification as you need and contact the assessor if you have any questions afterwards.

DETAILS OF PREVIOUS COURSES COMPLETED

In the table below provide details of all previous courses studied and formal training undertaken relevant to the course modules/competencies.

(Do not include work experience in this section –refer to next section)

DATES	COURSE NAME	COURSE DETAILS	RESULT

Please provide certified copies of all qualifications attained.

Any other Training Courses (Staff Development etc.)

WORK EXPERIENCE DETAILS

In the table below provide details of all relevant work experience, either full or part time, including any voluntary or unpaid work.

(Start with your most recently held position).

Employer	Position/Responsibilities	F/T or P/T	Dates
Name: Address: Contact: Phone:			From: To:
Name: Address: Contact: Phone:			From: To:
Name: Address: Contact: Phone:			From: To:
Name: Address: Contact: Phone:			From: To:

Please provide copies of Written References if applicable.

Other Interests, skills, significant relevant publications (provide copies), conference addresses, awards, professional membership including CPD.

ANNEX H: COMPLAINTS AND APPEALS LOG

Serial	Date received.	Name of Complainant	Brief description of complaint or appeal	Staff member dealing with the complaint or appeal.	Date of response, solution or referral.	Brief description of response, solution or referral (i.e. how the complaint or appeal was solved and or the action taken).