

Access, Equity and Learner Service Policy

Purpose

AICP ensures the principles of access and equity in the provision of timely and appropriate information, advice and support services in order to assist learners to identify and achieve their desired learning outcomes. AICP ensures that it meets the needs of individuals without discrimination.

Policy Statement

AICP meets the needs of individuals through the fair allocation of resources and the right to equality of opportunity without discrimination. Where, for example, provision of a course is not financially viable for AICP to provide for an individual with a disability or special needs, AICP will endeavour to refer the individual to a more suitable provider.

Where, for example, the individual has applied for a course that is detrimental to theirs or the public's safety for any reason whatsoever, AICP will not accept their enrolment but instead endeavour to refer the individual to an alternate provider, if appropriate.

Where the individual has applied for enrolment but would not be able to meet the licensing or registration requirements of an external licensing or registration body, AICP may, at its sole discretion, accept the enrolment, however it will always ensure that these requirements have been made explicitly clear in all pre-enrolment materials and in the learner's course agreement. Similarly, where an individual has provided AICP with assurance that their level of professional skills, experience, and/or abilities meet the requirements of a learning program, but based on their course progression and/or quality of work AICP believes otherwise, the learner will be treated fairly and if possible, offered an opportunity to complete a different learning program with AICP.

AICP firmly believes that this approach to access and equity is not prohibitive or discriminatory but rather gives every learner every opportunity to achieve success in their learning program and course outcomes.

AICP prohibits discrimination (direct or indirect) towards any group or individuals in any form, inclusive of, but not limited to:

- gender;
- pregnancy;
- race;
- colour;
- nationality;
- ethnic or ethno-religious background;
- marital status;
- sexual preference; and
- age.

Continuous Improvement of Learner Services

AICP monitors its delivery of support services. It collects and analyses sufficient relevant information to evaluate the need for and delivery of learner services. This information is used for the continuous improvement of learner services.

Information Prior to Enrolment

AICP disseminates clear information to each prospective learner, prior to enrolment, which includes the following: • course information including course entry requirements, resource requirements, course content and learning and vocational outcomes;

- fees and charges, including the refund policy and exemptions (where applicable);
- learner support services;
- appeals and complaints procedures;
- recognition of prior learning (RPL);

- mutual recognition arrangements.

AICP ensures that it maximises the collection of sufficient data pre-enrolment through a number of data collection methods, including information provided by prospective learners. This is to ensure that it can make informed decisions about offering training products to learners, taking into account the individual's existing skills and competencies. Any advice or offer made by AICP will be consistent with the learner's needs and these needs will be documented in the learner(s) file.

If a learner provides inaccurate, misleading or false pre-enrolment information that AICP relies upon in making an enrolment decision, and post-enrolment it becomes evident that the information provided was not accurate, AICP may, at its sole discretion, cancel the individual's course participation without providing any refund to the individual.

Learner Records

AICP maintains current and accurate learner records and ensures that all completed assessments are stored in adherence to the RTO's legislative obligations and/or regulatory directions by the Regulator. Learners are informed about how to access their records and how to obtain replacement certification if necessary. Staff are informed of record collection, recording and storage responsibilities. Trainers and assessors must keep accurate and current records of assessment results that lead to a judgement of competence. AICP retains records of assessment outcomes for a period of six (6) months after which the records are archived.

Learner privacy is maintained at all times. Only authorised staff have access to confidential information. Authorised staff must enter any confidential information accurately and ensure it is secure from unauthorised access. Requests for access to confidential records must be made in writing by the learner and approved by the CEO.

Information collected from and about learners must meet registering body and/or licensing authority requirements, where relevant.

Complaints and Appeals

AICP documents and implements procedures for managing learner complaints and appeals in a constructive and timely manner.

Procedures are in place to ensure that:

- each complaint, appeal and its outcome are recorded in writing;
 - each complaint, appeal and its outcome are recorded in the complaints and appeals register; • and
- each appellant:
- has an opportunity to formally present his or her case at no cost; and
 - is given a written statement of the appeal outcomes, including reasons for the decision.

AICP follows up any complaint that is substantiated to ensure that the cause of the complaint is resolved so that the problem will not reoccur.

All records of any complaint and/or appeal are kept on file for a period of twelve (12) months.

Access and equity

AICP is committed to ensuring that its training and assessment environment is free from discrimination and harassment. All AICP staff members (including contractors) are made aware that discrimination and harassment will not be tolerated under any circumstances. If discrimination and harassment is found to have occurred, disciplinary action will be taken against any staff member who breaches this policy. Suspected criminal behaviour will be reported to police authorities immediately.

Learners who feel that they have been discriminated against or harassed should report this information to an AICP staff member they feel they can trust. This will initiate AICP's complaint handling procedure which will be fair and transparent and will protect their rights as a complainant.

This policy may only be deviated from at the discretion of AICP's CEO.

Assessment Policy and Procedure

Purpose

The purpose of the Assessment Policy and Procedure is to ensure that all assessment undertaken by Australian Institute of Compliance Professionals ("AICP") meet the requirements of the relevant training package as published on www.training.gov.au. Additionally, the Assessment Policy and Procedure is designed to ensure that all assessment undertaken by AICP is delivered in a manner consistent with the Principles of Assessment and Rules of Evidence.

Policy Statement

The Assessment Policy and Procedure applies to all assessment undertaken by AICP of nationally recognised units of competency or qualifications. This includes predesigned assessment procedures and RPL assessments undertaken by staff, contractors and other third-party providers who work on behalf of the RTO.

Assessment

AICP assessments are conducted only by suitably qualified and experienced assessors. Assessment is conducted by using a combination of assessment methods, which may include activities such as written knowledge assessment, research tasks, case studies etc. as needed to assess a candidate's competence. All assessment activities are designed to be completed in the candidate's own workplace as this helps with their learning process and potentially, with successful information retention.

Principles of Assessment

Fairness

The individual learner's needs are considered in the assessment process and, where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

Flexibility

Assessment is flexible to the individual learner by:

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

Validity

Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:

- assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
- assessment of knowledge and skills is integrated with their practical application;
- assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

Reliability

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

Rules of Evidence

Validity

The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

Sufficiency

The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.

Authenticity

The assessor is assured that the evidence presented for assessment is the learner's own work.

Currency

The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

The Assessment System

AICP will ensure, through the implementation of a consistent and systematic assessment system, that:

- all assessments meet the Training Package, Accredited Course, Unit of Competency or Skill Set requirements as published on www.training.gov.au. and that all assessments are consistent with the organisation's relevant Training and Assessment Strategy;
- where applicable, the assessment meets workplace performance standards as defined in the Training Package and refined by liaison with industry;
- assessment tools meet the requirements of the Principles of Assessment and are valid, reliable, flexible and fair;
- the assessment evidence collected and analysed meets the requirements of the Rules of Evidence and is sufficient, valid, authentic and current; and
 - all evidence submitted as part of applications for RPL meet all assessment requirements, including the requirements of the Training Package, the Principles of Assessment and the Rules of Evidence.

Assessment submissions

Detailed assessment submission instructions are provided in each Candidate Assessment Kit and candidates only commence assessment after confirming that they are ready to undertake the assessment of the relevant unit of competency and that they understand AICP's assessment process.

Reassessment

Where a candidate is assessed as not competent in any assessment activity, they will be provided with written feedback to assist them in identifying the gaps in their knowledge and skills. Candidates are allowed one resubmission opportunity for an assessment which has previously been deemed Not Satisfactory and fees will apply for a second resubmission. This requirement may be waived only where the required evidence is minimal and then only at the discretion of AICP management. Third and subsequent re-submissions are not allowed, and candidates will be required to undertake further learning and possibly re-enrol in the relevant unit of competency, therefore paying a further course fee for that unit.

Plagiarism

AICP does not tolerate plagiarism under any circumstance and uses plagiarism detection software for all submitted assessments. Where plagiarism is proven, AICP's Plagiarism Policy is applied without exception.

National Recognition and RPL

AICP will confirm that claimed qualifications are consistent with Training Package, Accredited Course, Unit of Competence or Skill Set specifications. Where a learner applies for the recognition of previously attained nationally recognised learning (also known as Credit Transfer), AICP will confirm the authenticity of the claim by either:

- obtaining written confirmation of the authenticity of the AQF document from the issuing body; or
- accessing the learner's Unique Student Identifier (USI) account to obtain a copy of the person's USI record, after receiving consent to do so from the individual learner.

Certification

Training and assessment staff must confirm that all competencies required for the qualification have been demonstrated according to the Training Package, Accredited Course, Unit of Competency or Skill Set requirements prior to the issuing of any Qualification or Statement of Attainment.

This policy and procedure may only be deviated from at the discretion of AICP's CEO.

Certificate Issuance Policy and Procedure

Purpose

This document outlines the Australian Institute of Compliance Professionals' (AICP) policy and practices on the issuance of Australian Qualifications Framework ("AQF") certification documentation.

Policy Statement

AICP takes every care possible to ensure that it only issues AQF certification to individuals who have successfully completed all requirements of their course. To facilitate this, it has a stringent quality assurance process which occurs before AQF certification is issued. In support of this practice, prospective learners are advised pre-enrolment or course commencement, whichever comes first, that assessment outcomes recorded for individual units of competency are not considered final until AICP's pre-issuance quality assurance process is complete. A statement advising of this practise is also included in all AICP Candidate Assessment Kits and candidates acknowledge their awareness of this prior to commencing assessment.

Procedural actions

Validation of assessment resources

AICP undertakes regular validation of its assessment resources and where necessary, adjustments are immediately made to its assessment resources and these adjustments are recorded in its Continuous Improvement Register.

Moderation of assessment outcomes

AICP's quality assurance process includes the regular moderation of randomly selected assessment outcomes to ensure the Rules of Evidence and Principles of Assessment have been met. Where necessary, assessment candidates are informed that their assessment results are/were delayed for the purpose of moderation. Whilst AICP recognises that delays in the release of assessment outcomes may potentially inconvenience individual learners, it believes the benefits of regular moderation outweighs the potential inconvenience as learners are not required to receive their assessment outcomes before proceeding with the learning of the next unit of competency in their learning program.

Where AICP's assessment moderation outcomes identify the need for the learner to provide additional evidence of competency or complete further assessment activities, the additional evidence of further assessment activities must be provided/undertaken before their assessment outcome(s) is finalised and their AQF documentation can be issued. In this event, the affected learner(s) are notified of this requirement at the earliest possible time.

AICP implements a valid sampling approach to the quality review process and allows it to infer that, overall, the RTO's assessment judgements have been valid.

AQF Certification Documentation

AICP ensures that its AQF certification documentation meets its regulatory obligations at all times.

Certificate issuance

AICP issues all AQF certification in electronic format within thirty (30) days of the receipt of a candidate's final units of competency being marked competent.

This policy may only be deviated from at the discretion of AICP's CEO.

Complaints and Appeals Policy and Procedures

Purpose

This document articulates the process for Australian Institute of Compliance Professionals ("AICP")'s management of complaints and/or appeals lodged by learners.

Policy Statement

AICP will ensure that it has an appropriate internal complaint handling and appeals process. In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute, should be resolved at the time and as they occur between the persons involved, where possible. Sometimes this will not be possible and in these cases, learners are encouraged to come forward and inform AICP of their concerns with the confidence that they will be treated fairly.

AICP's complaints and appeals process satisfies the following requirements:

- a process is in place for lodging a formal complaint or appeal if the matter cannot be resolved informally, in which case a written record of the complaint or appeal is kept for a period of twelve (12) months;
- each complainant or appellant has an opportunity to formally present their case;
- each party may be accompanied and assisted by a support person at any relevant meetings; • the complainant or appellant is given a written statement of the outcome, including details of the reasons for the outcome; and
- the process commences within 10 business days of the formal lodgement of the complaint or appeal and supporting information, and all reasonable measures are taken to finalise the process as soon as practicable.

If the learner is not satisfied with the result or conduct of the internal complaint handling and appeals process, AICP will advise the learner of their right to access an external appeals process, however it is crucial that complainants follow AICP's complaints process before making a complaint about AICP to an external party, including the regulator.

If the learner chooses to access AICP's complaints and appeals processes as per this requirement, AICP will maintain the learner's enrolment while the complaints and appeals process is ongoing.

If the internal or any external complaint handling or appeal process results in a decision that supports the learner, AICP must immediately implement any decision and/or corrective and preventative action required and advise the learner of the outcome.

Principles

Any complaint will be handled fairly, recognising the rights of the person making the complaint, AICP and/or the person against whom the complaint is being made. All parties concerned will be treated with courtesy and appropriate confidentiality will be maintained.

AICP will be transparent and accountable in relation to learner complaints by ensuring information about the procedure is widely available and by informing stakeholders about feedback received and actions taken to improve services resulting from analysis of feedback.

A complaint may be withdrawn by the complainant at any point.

AICP will collect data and maintain records of complaints received, and the outcomes thereof. These records will be analysed by Management and/or assessed annually as part of the AICP's continuous improvement strategy.

All documentation relating to learner complaints will be:

- forwarded to the CEO; and
- registered in AICP's Complaints Register; and
- filed appropriately.

Procedure

Staff and Learner Information

AICP management will inform all staff of complaint and appeal procedures. This policy and procedure is also made available to all prospective and current learners on the AICP website, and a summary thereof is included in the AICP Learner Handbook.

Complaints and Appeals System

The complaints and appeals system is designed to ensure:

- learners are able to present their complaint to AICP free of charge and in a fair and equitable manner; and •
- complainants have access to an independent arbiter if necessary, at the complainant's expense; • complaints and
- appeals are resolved within the specified time frame.

AICP Management must, as part of the complaints and appeals procedure, inform learners clearly of the complaint or appeal outcomes in writing.

The complaints and appeals process will be available to all learners of AICP, including where services are being provided on behalf of AICP by a third party.

Complaint Process

AICP applies the following principles to its complaints and appeals management:

- a written record of all complaints and appeals, including all details of lodgement, response and resolution is kept by AICP for a period of twelve (12) months.
- A complainant or person lodging an appeal is to be provided an opportunity to formally present their case at minimal or no cost.
- Each complainant or appellant may be accompanied by and/or assisted by a support person at any relevant meeting. • The handling of a complaint or appeal is to commence within 10 working days of the lodgement of the complaint or appeal and all reasonable measures are taken to finalise the process as soon as practicable. AICP will always endeavour to resolve any complaints and/or appeals within 30 days of the matter being reported or within a period of 60 days where necessary.
- The complainant or appellant must be provided with a written statement of the outcome, including details of the reasons for the outcome.
- AICP shall maintain the enrolment of the complainant or appellant during the complaint or appeals process. • Decisions or outcomes of the complaint or appeals process that find in the favour of the learner or otherwise shall be implemented immediately.
- Complaints and appeals are to be handled in the strictest of confidence. No AICP representative is to disclose information to any person without the permission of AICP's CEO. Decisions to release information to third parties are only to be made after the complainant or appellant has given permission for this to occur.
- Complaints and appeals are to be considered based on procedural fairness and may lead to opportunities for improvement as a Continuous Improvement Report.

Appeal Process

To initiate the appeal process:

- the learner lodges an appeal directly to the Chief Executive Officer within 7 days of being advised of the outcome of a complaint or assessment; and
- the learner lodges the appeal in writing.

Where the appeal necessitates the reassessment of an assessment submission, AICP will require the appellant to lodge an appeals reassessment deposit as articulated on the current AICP Schedule of Fees. In the event that the assessment outcome appeal is decided in favour of the appellant, the full appeals reassessment deposit is refunded to the appellant. Where the appeal fails, the appeals reassessment deposit will be applied to AICP's cost of reassessment.

To resolve the appeal AICP will:

- within 7 days of receiving the appeal, acknowledge the appeal in writing and notify all relevant stakeholders that an appeal has been lodged;
- for appeals regarding assessment, organise remarking or reassessment;

- for non-assessment appeals, AICP will endeavour to resolve the matter through informal conciliation. If conciliation is unsuccessful, either party may refer the matter to a third party/panel acceptable to all parties and with the cost thereof to be borne by the referring party;
 - if the appeal requires more than 60 calendar days to resolve, the appellant will be notified in writing and will be provided with a reason why the appeal cannot be resolved within this timeframe;
 - notify the appellant in writing of the progress of the appeal at regular intervals until the appeal is resolved; •
- ensure that in all cases the appeal is to be conducted fairly, openly and impartially.

Corrective Action

Where applicable, AICP management will monitor the operational area of complaint or appeal to ensure that corrective action is taken, and the problem is resolved. Management must also monitor the operational area(s) to ensure any required changes are implemented and that there is no recurrence of the initial problem.

Preventive Action

AICP Management must implement preventive or corrective action as appropriate to the problem identified through the complaints and appeals process and monitor the implementation for effectiveness, to ensure that it:

- prevents the identified problem from recurring; and
- does not have any unforeseen side effects.

AICP Management must review complaints and appeals to determine causes and take action to prevent recurrence of these causes.

This policy may only be deviated from at the discretion of AICP's CEO.

Course Progression Policy

1. Purpose

This policy outlines the Australian Institute of Compliance Professionals' (AICP) policy on course progression, course suspension, and related activities and procedures.

2. Policy Statement

AICP recognises that completing an online learning course requires discipline, self-motivation and time management skills from learners. To provide learners with optimal learning opportunities and course completion support, AICP offers all courses as structured learning programs and self-paced learning options are not available. AICP'S course progression support activities include regular course progression and assessment communicate with learners, assessment submission **extension**s, course **deferral** options, individual learning plans if required, and on-demand student support. However, it remains the responsibility of each learner to ensure that they balance their own work, family, social and learning and assessment activities to meet their ongoing learning obligations and course progression.

3. Course **deferrals**

Course deferrals are limited and may not be available to all learners. Deferrals are available in the following instances at the sole discretion of AICP. AICP reserves the right to request and verify any relevant evidence. AICP will work with the learner to determine a deferral period that supports successful completion of the enrolment within a reasonable timeframe.

- Defence Forces active deployment
- Serious injury, illness, or death within the learner's immediate family
- Learners affected by natural disasters in limited cases

4. Course **extensions**

Learners may apply to extend their course enrolment duration at an additional fee and approval of any course enrolment **extension** is solely at AICP's discretion. Where a learner cannot complete their course within an approved extension time, they may be required to re-enrol in the course, including a new application and course fees invoice. Course fees paid at the time of the learner's initial course enrolment will not apply to the new course enrolment. Any previously completed units may be applied to the new course enrolment providing that the unit(s) are deemed equivalent at the time of the new enrolment. Learners may also choose to complete any single unit(s) at the single unit study fee(s) applicable at the time.

5. Course **deferral** eligibility

All AICP learners participating in full course qualifications are eligible to apply for course **deferral** as articulated in this policy. Full course qualifications are to mean qualifications that are listed on www.training.gov.au as qualifications and/or accredited courses and excludes Skill Sets, Foundation Courses and/or Bridging Courses, Short Courses and non-accredited courses.

Course Enrolment Policy and Procedure

Purpose

This enrolment policy is designed to ensure that the Australian Institute of Compliance Professionals ("AICP") course enrolment process is implemented consistently and fairly for all learners.

Policy Statement

Course enrolment

A learner's enrolment period commences from the date that their enrolment is accepted and is to be the period of their learning program as advertised on the AICP website at the time of enrolment.

It is the learner's responsibility to ensure that they progressively complete their course within the agreed course duration. AICP does not accommodate requests for fast-tracking a learning program except where Credit Transfers and/or RPL will reduce the course duration. Where it is evident that a learner will not be able to complete their course within the agreed course duration, AICP may either implement an Administrative Withdrawal or levy an additional Course **Extension** fee. Learners are advised to contact AICP for more information on the current Course **Extension** fees.

Learner cancellation

Where a learner wishes to cancel their course participation part-way through a training program they must notify AICP in writing via email at their earliest opportunity. If they cancel their enrolment after their training program has commenced, they will not be entitled to a refund of any fees paid to date and they will be liable for the unpaid balance of their full course fees.

Refunds and Administrative Withdrawals

An Administrative Withdrawal is when AICP initiates the cancellation of a learner's course participation prior to the learner's predicted enrolment end date. AICP will always only initiate an Administrative Withdrawal in exceptional circumstances, which may include where a learner:

- has been proven to have breached AICP's Plagiarism Policy and has been advised as such; and/or
- has not progressed with their course work for a period of three months without obtaining a **deferment** from AICP; and/or
- has not responded to AICP's attempts to contact them about their lack of progress; and/or
- is uncontactable by the AICP team.

Except for circumstances involving plagiarism, AICP will attempt to contact a learner at least three (3) times in a one (1) month period and advising them on at least two (2) of the three (3) occasions of an impending Administrative Withdrawal.

Except for circumstances involving plagiarism, an Administrative Withdrawal will only be reconsidered at the sole discretion of AICP's CEO. No reconsideration will be given where an Administrative Withdrawal occurred because of proven plagiarism.

AICP will not consider any requests for refunds where an Administrative Withdrawal has occurred due to proven plagiarism and learners will not be given any opportunities of finalising any outstanding or incomplete unit(s) of competency at a later date. No part of the original course fee can be used at a later date as a credit towards any of AICP's courses.

Where a learner's course participation is employer-funded and their course participation has been cancelled due to a plagiarism-related matter, their employer will be notified of their course cancellation.

Course Transfers

Requests for transfers to alternate course offerings can be arranged if AICP is advised in writing more than ten (10) working days prior to the program commencement date and there is availability in the selected program. One transfer will be accepted without charge where AICP has been notified in writing at least ten (10) working days prior to the scheduled commencement date. All subsequent transfers will attract an administration charge as detailed in AICP's current Schedule of Fees, a copy of which may be obtained by contacting the AICP Student Support team via email.

AICP goes to great lengths to ensure that each learner is enrolled in a course that will meet their learning needs and to which their current job role and experience is suited; this is to ensure that each of all learners have an opportunity to optimise their learning journey. AICP's course acceptance determinations are, however, reliant on the pre-enrolment information that is provided by the individual course applicant and if it becomes apparent after enrolment that based on the information that was provided by the learner at the pre-enrolment stage, they are not suited to the course that they have enrolled in, AICP reserves the right to transfer the learner to a better suited course or consider an administrative withdrawal of their enrolment.

If a transfer is necessitated after course commencement, the learner will be liable for course fees for any and/or all unit(s) of competency where they accessed the resources via AICP's learner management system (LMS). The course fees in this instance will be calculated at the individual course unit fee as advertised on the AICP website at the time of the course transfer. The learner will also be liable for the full course fee of the course to which they have been transferred.

Enrolment Procedure

Enrolment in AICP's accredited courses is not automatic and all enrolees, with the exception of enrolment for full RPL, must complete AICP's online enrolment process which includes:

- a learner questionnaire designed to establish the suitability of the relevant training product;
- completing an online enrolment form.

Upon receiving an enrolment application, AICP must confirm that the applicant has recorded their suitability to the course by providing the necessary information on their enrolment form. AICP will also establish if the applicant intends to apply for RPL for National Recognition for any part of the learning program and if confirmed, AICP will conduct a verbal conversation with the applicant to establish for which individual components they intend applying for RPL and/or National Recognition. The applicant's suitability for RPL, and AICP's RPL process will be discussed with them and if required, the applicable documentation will be emailed to the applicant.

If the enrolment application is successful, AICP will:

- in the case of a self-funded learner, provide the individual with an invoice for initial payment of less than \$1,500
- upon receipt of notification that the learner has completed the payment process, enable learning portal access for the learner; and
- provide the learner with further necessary details about accessing and using their learning portal.
- Where the individual course participation will be employer-funded, AICP will forward an invoice to the employer and upon receipt of payment, enable a learning portal for the learner; and
- provide the learner with further necessary details about accessing and using their learning portal.

All successful enrolment applicants are required to submit a fully completed and duly witnessed Statutory Declaration to confirm that they meet the course entry requirements. This is applied without exception.

RPL Applications

Where an individual wishes to apply for assessment by RPL only, AICP will first conduct a verbal interview with them to explain the RPL process and establish, as much as possible, the person's suitability for RPL. If both AICP and the individual are satisfied that based on AICP's requirements and the individual's experience and available proof of evidence of their skills and experience, RPL will be a suitable pathway for them, AICP will provide the individual with the link to its online enrolment form. Upon receipt of the enrolment application, AICP will assess the application and if successful and after advising the applicant thereof, provide the applicant with an invoice for the RPL assessment.

Once payment has been received for the RPL enrolment, AICP provides the individual with a Dropbox link which contains the candidate's RPL and related documents.

This policy may only be deviated from at the discretion of AICP's CEO.

Fees, Charges and Refunds Policy

Purpose

The purpose of the Fees, Charges and Refunds Policy is to ensure that Australian Institute of Compliance Professionals ("AICP")'s approach and practices with regards to fees, charges and refunds are clearly articulated and that all learners are properly informed of their rights and obligations with regards to fees, charges and refunds prior to enrolment or course commencement, whichever comes first.

Policy Statement

This policy applies to fees, charges and refunds applicable to the provision of training and assessment and in accordance with its legislative and regulatory obligations, AICP's Fees, Charges and Refund Policy is available on the AICP website with summaries thereof contained within the AICP Learner Handbook and as part of the AICP enrolment process, where it is made available as part of the contract between the learner and/or employer, and the RTO.

Course Fees

AICP is entitled to charge fees for items or services provided to learners undertaking a course of study. These charges are generally for items such as course materials, learning material, assessment resources, learner services and training and assessment services.

AICP does not collect more than \$1500 in prepaid fees from self-funded learners and offers payment plans to all self funded learners. Prepaid fees means fees collected before the relevant services are provided, and AICP's relevant services include courses where online or distance learning content is provided at enrolment and/or have been accessed by the learner at any time after enrolment. Fees for employer-funded learners are paid upfront upon invoice.

Fees are payable once a learner has received confirmation of their enrolment and the initial fee instalment must be paid prior to the formal commencement of training or within 7 days of receiving an invoice from AICP. Course fee payment plans are aligned with courses and will vary depending upon factors such as the course duration and learning structure of the course.

AICP attributes 75% of the unit cost of a course to learning and 25% of the unit cost to assessment. Thus, where a learner has accessed the learning and/or assessment resources of a unit of competency, AICP is entitled to claim 75% of the cost of the unit as fees earned and due. Once AICP has marked the learner's assessment submission for that unit of competency, AICP is entitled to claim the outstanding 25% of the cost of the unit as fees earned and due.

Where a learner withdraws from their course, or where AICP has finalised an Administrative Withdrawal of their course participation, they will remain liable for the full course fee. Where their course fees are payable on a payment plan and by direct debit from a credit card account, AICP will debit the nominated credit card with the balance of their course fees at the time of their course withdrawal.

Administration Fees and Charges

AICP Schedule of Fees is revised annually and a copy of the Schedule of Fees is available to course participants upon request.

AICP's administration fees and charges may include administration charges, assessment submission **extension** fees, reassessment fees, certificate reissuance fees, credit transfer administration fees etc. Additional charges may also apply including follow-up charges associated with late or non-payment, overdue fees, or to employ the services of a debt collection agency where required for non-payment of overdue fees.

AICP generally does not impose additional fees or additional charges for material and/or resources but where this to occur, learners will be advised thereof prior to enrolment or course commencement, whichever occurs first.

Non-Payment of Fees

If a learner and/or their employer fails to pay all fees and charges by the due date the learner and/or their employer is deemed to be a AICP debtor. Failure to pay the debt within 14 days of the original due date may result in any or all of the following, until the full amount is paid:

- suspension of the learner from attending or participating in the course until the debt is paid;
- loss of access to the AICP's resources, computer systems or online course;
- loss of access to enrolment record information and academic transcripts;
- inability to graduate;
- termination of the enrolment

Fees not paid within 30 days of the original due date may result in a cancellation of the learner's course participation and the referral of the debt to an appropriate Debt Collector. Any additional charges incurred for collection will be payable by the course participant.

Refunds

AICP is committed to the fair and transparent application of fees and charges, including the processing of refunds. AICP's refund policy is as follows:

- an application for a refund of course fees must be made in writing using AICP's refund request form. A learner will be entitled to a refund of eighty percent (80%) of their full course fees if their written request is received more than five (5) business days prior to their course commencement,
- a learner will be entitled to a refund of twenty percent (20%) of their full course fees if their written request is received less than five (5) business days prior to their course commencement;
- as a rule, a learner will not be entitled to any refund of their full course fees once their course has commenced. AICP will, however, consider each application on a case by case basis.
- where a learner becomes ill and/or is injured and/or or experiences other extenuating circumstances to the extent that they can no longer undertake the course, AICP will consider a request for a pro-rata refund of their full course fees, provided that they provide AICP with a supporting medical certificate and/or other relevant supporting documentation that AICP requests;
- should a learner wish to enrol in a learning program at a later stage, they will not be able to use any portion of their unrefunded course fees towards the new course enrolment, although AICP may offer them a returning learner discount of up to 10%. Any previously completed units may be applied to the new course enrolment providing that the unit(s) are deemed equivalent at the time of the new enrolment.

This policy may only be deviated from at the discretion of AICP's CEO.

Language, Literacy and Numeracy Procedure

Purpose

The purpose of the Language, Literacy and Numeracy (LLN) Procedure is to define how AICP determines an individual's LLN suitability to the training program in which they wish to enrol.

Procedure

Needs Assessment

All course applicants are required to identify in their enrolment application if they have LLN needs that may impact on their learning journey. Where an applicant answers in the affirmative, AICP will contact the individual for further discussion and if required, request the applicant complete an LLN test.

Where an applicant has completed a previous Australian qualification at the same AQF level of the course for which they are applying for enrolment, an LLN test is not required, provided that AICP has established the authenticity of that Australian qualification.

Where an applicant has not completed a previous Australian qualification at the same AQF level of the course to which they are applying for, the applicant will be required to successfully complete an LLN test designed for the appropriate AQF-level of the course in which they wish to enrol, prior to acceptance of their application.

AICP does not accept applications for individuals who do not have the necessary LLN skills required to undertake the learning and assessment of the accredited course in which they wish to enrol and where applicable and/or practical, AICP may recommend that the individual undertake LLN training provided by TAFE or other training institutes that have specialist teachers to support the learner's development.

This procedure may only be deviated from at the discretion of AICP's CEO.

Plagiarism, Cheating and Collusion in Assessment

Purpose

AICP has zero tolerance for plagiarism, cheating and/or collusion in assessment and enforces this policy fairly, consistently and without exception.

Policy Statement

AICP does not tolerate plagiarism under any circumstance and uses plagiarism checking software for all submitted assessments.

Plagiarism is using the words or ideas of others and passing them off as the learner's own; this includes (but is not limited to):

- information taken from any material provided to AICP learners;
- policies, procedures, templates etc. that the learner has access to or may use as part of their day-to-day work function(s) and was not developed solely by the individual learner;
- unreferenced information sourced from independent research undertaken by the learner, regardless of the source of the information;
- unauthorised collusion with another person in the preparation and/or completion of any assessment activity.

AICP considers plagiarism as a type of intellectual theft and recognises that plagiarised work must fail to meet the Rules of Evidence at all times. AICP checks assessment submissions for plagiarism and takes action in every instance where it has been identified that an assessment submission is not the learner's own original work. There is no allowable percentage of words that may be copied from another source and presented as the learner's own or included in any assessment submission unless clearly specified in the assessment requirement(s).

The consequences of plagiarism include repeating the entire unit at an additional cost or cancellation of the individual's course enrolment, in which case AICP's Administrative Withdrawal policy will apply.

AICP recognises that a learner may unintentionally have included unoriginal work in an assessment submission, or that there may have been extenuating circumstances that resulted in the submission of unoriginal work. In the interest of natural justice and procedural fairness, AICP will adhere to the following process unless otherwise decided by the CEO:

Classification of the severity of plagiarism

To assist the AICP Governance Board in determining the appropriate response to any further identification of the inclusion of plagiarised work in the learner's work, AICP will classify the severity of the plagiarism as follows:

1. where the learner's submitted work includes one to three instances of plagiarism, the severity will be classified as **low to medium**; and
2. where the learner's submitted work includes four or more instances of plagiarism the severity will be classified as **high**.

Where the severity of plagiarism is classified as low to medium, and subject to the AICP Governance Board's satisfaction of AICP's findings of plagiarism and with the learner's response to these findings, the AICP Governance Board must make a determination that the learner will be permitted to continue with their course and the learner will be asked to resubmit only the assessment activities that included the plagiarised work. In this instance AICP's Assessment Submission policy will apply.

Where the severity of plagiarism is classified as high, and subject to the AICP Governance Board's satisfaction of AICP's findings of plagiarism and with the learner's response to these findings, the AICP Governance Board must make a determination that the learner will be permitted to continue with their course and the learner will be required to re-enrol in the unit in question. The learner will incur a single-unit enrolment fee for the unit(s) of competency in question. AICP assessors are not required to continue marking an assessment submission where the severity of plagiarism is classified as high.

In the first occurrence of plagiarism

1. AICP notifies the learner that the inclusion of unoriginal work has been identified in their assessment submission; and

2. the learner is provided with a marked-up copy of their assessment submission where the plagiarised work is clearly identified, including the source of the plagiarised information; and
3. the learner is provided with a written warning and invited to contact AICP should they require counselling on plagiarism; and
4. the learner is required to resubmit the assessment activity(ies) that included the plagiarised work. This resubmission is considered a second assessment submission and is subject to AICP's Assessment Submission policy; and
5. a notation of this warning, together with a copy of the learner's marked-up assessment is included in the learner's file.

In the second occurrence of plagiarism

Where a learner has previously been provided with a plagiarism warning, and further assessment submissions are identified as containing unoriginal work, the following steps must be taken:

1. AICP's CEO notifies the learner in writing that their submitted work has been identified to include unoriginal work and that their access to the LMS will be suspended until the matter has been decided upon; and
2. the learner is provided with a marked-up copy of their assessment submission where the plagiarised work is clearly identified, including the source of the plagiarised information; and
3. the learner is advised that their work will be forwarded to AICP's Governance Board for a determination of the learner's continued course participation; and
4. the learner is invited to provide a response to AICP's findings within five (5) business days of the date of the letter and advised that a copy of their response will be provided to the AICP Governance Board to assist in their determination of the learner's continued course participation; and
5. if no response is received from the learner by at least the business day prior to the five-day deadline, AICP Student Support will remind the learner of their response due date; and
6. the learner is advised of the outcome within five (5) to ten (10) business days of the AICP Governance Board's determination; and
7. where a learner chooses not to provide a response, the AICP Governance Board will be at liberty to determine the discontinuation of the learner's course participation.

In the third occurrence of plagiarism

Where AICP identifies a third instance of a learner committing plagiarism, the following steps must be taken:

1. AICP assessors will not continue marking an assessment submission where the severity of plagiarism is classified as high; and
2. AICP's CEO notifies the learner in writing that their submitted work has been identified to include unoriginal work and that their access to the LMS will be suspended until the matter has been decided upon; and
3. the learner is provided with a marked-up copy of their assessment submission where the plagiarised work is clearly identified, including the source of the plagiarised information; and
4. the learner is advised that their work will be forwarded to AICP's Governance Board for a determination of the learner's continued course participation; and
5. the learner is invited to provide a response to AICP's findings within five (5) business days of the date of the letter and advised that a copy of their response will be provided to the AICP Governance Board to assist in their determination of the learner's continued course participation; and
6. if no response is received from the learner by at least the business day prior to the five-day deadline, AICP Student Support will remind the learner of their response due date; and
7. subject to the learner providing extenuating circumstances that resulted in the inclusion of plagiarised work, and the acceptance of such circumstance by AICP's Governance Board, a determination of the learner's course cancellation must be made; and
8. the learner is advised of the outcome within five (5) to ten (10) business days of the AICP Governance Board's determination; and
9. AICP will advise the learner that it will commence an Administrative Withdrawal of the learner's course participation; and
10. all evidence correspondence and evidence in the matter will be uploaded to the learner's file. This

policy may only be deviated from at the discretion of AICP's CEO.

RPL and Credit Transfer Procedure

Purpose

The purpose of this procedure document is to provide a process for the implementation of National Recognition and RPL arrangements and procedures.

Procedure

AICP must:

- inform all prospective and current learners about how to access National Recognition and RPL; and
- inform staff of responsibilities regarding National Recognition and RPL.

Confirmation

AICP staff must:

- confirm the accuracy of the claimed qualifications and the issuing RTO's status to ensure the legitimacy of claim;
- confirm with the issuing RTO in writing as necessary;
- confirm the claimed qualifications against the requirements for the Training Package;
- determine if any national recognition exists and, if so, determine the approximate duration of completion time to be reduced from the qualification using the relevant purchasing or implementation guide as a guide for reducing the course duration; and
- refer the applicant to the RPL process if appropriate. Where the learner or prospective learner is referred to the RPL process, AICP must ensure that the process is made as simple and efficient as possible for the learner and that they understand the RPL process, including evidence requirements.

Advise Outcome

AICP staff must:

- notify the candidate, or prospective candidate, in writing if the application for national recognition or RPL has been successful as well as advise the applicant of national recognition and any resulting course duration adjustment; and
- if the application is unsuccessful, advise the applicant in writing of the reasons and the avenues for appeal.

Operational implementation

All AICP learners are offered the opportunity to apply to have prior learning recognised toward the qualification or course in which they are enrolled at the time of applying for course enrolment.

RPL guidelines

The following guidelines are applicable to AICP's RPL process:

- any learner is entitled to apply for RPL in any accredited course or qualification that AICP offers; • whilst learners may apply for recognition at any time, they are encouraged to apply before commencing their training program as AICP does not accept RPL applications for a unit(s) of competency once the learner has been given access to the learning material for the unit(s) of competency;
- AICP levies a per-unit RPL assessment deposit payable by existing learners which is fully refundable if the learner successfully completes their RPL assessment. Conversely, where the learner is unsuccessful in their RPL assessment, this deposit is forfeited and applied to AICP's costs of that particular assessment process;
- all AICP assessment practices, including assessment by RPL, meet the Principles of Assessment and the Rules of Evidence;
- RPL is only available for full units of competency.

Credit Transfer

Credit Transfer is the recognition of learning achieved through formal education and training. The Standards for NVR Registered Training Organisations requires that AICP accept verified and authenticated AQF certification documentation issued by any other RTO or AQF authorised issuing organisation, or authenticated VET transcripts issued by the Regulator. Credit Transfer allows a learner to be awarded a unit of competency/module based on successful completion of the unit which has been previously awarded.

Evidence requirements

Learners seeking national recognition are required to present their Statement(s) of Attainment or qualification testamur and record of results for examination to AICP. These documents will provide AICP with the details of the unit(s) of competency the learner has previously been issued with. Learners must provide satisfactory evidence that the Statement(s) of Attainment or qualification documentation is authentic, is theirs and that it has been issued by an Australian RTO or AQF authorised issuing organisation. Statements of Attainment or qualification documentation should be in the correct format as outlined in the Australian Qualifications Framework.

AICP will contact the issuing Australian RTO or AQF authorised issuing organisation for written verification of authenticity of the AQF documentation presented.

National recognition (“Credit Transfer”) guidelines

AICP follows the following guidelines in relation to national recognition:

- any learner is entitled to apply for Credit Transfer in a course or qualification in which they are currently enrolled; • learners may not apply for national recognition for units of competency or qualification which are not included in AICP's scope of registration;
- whilst learners may apply for national recognition at any time, they are encouraged to apply before commencing a training program. This will reduce unnecessary training and guide the learner down a more efficient path to competence;
- the learner does not incur any tuition or course fees for national recognition and AICP does not receive any funding when national recognition is granted. AICP may charge an administration fee to cover any costs incurred in the verification of AQF certification issued by another RTO, AQF authorised issuing organisation or authenticated VET transcripts issued by the Registrar.

Credit Transfer may only be awarded for whole units of competency. Where a mapping guide identifies a partial credit, this will not be considered for Credit Transfer and applicants will be advised instead to seek recognition or complete the relevant unit(s) of competency by coursework.

This procedure may only be deviated from at the discretion of AICP's CEO.

Privacy Policy

The Privacy Policy and Procedure has been implemented to ensure that Australian Institute of Compliance Professionals ("AICP") complies with its privacy obligations at all times.

Policy Statement

Privacy

AICP takes the privacy of its learners very seriously and complies with all legislative requirements. These include the Privacy Act 1988 and Australian Privacy Principles. In complying with these Principles, AICP must:

- ensure that only authorised employees and learners have access to learner records;

- ensure a record of learner requests for access to personal records is maintained;
- ensure that only authorised employees have access to employee records;
- ensure that only authorised employees have access to stakeholder's confidential information; and
- restrict third party access to learners' personal records except as required by legislation or with the express written permission of the individual.

Procedure

Personal Information

AICP must:

- confirm that authorised employees enter learner personal information accurately;
- ensure that such information is secure from unauthorised access;
- ensure that employees update learner personal records when their personal information changes;
- confirm that authorised employees enter employee personal information accurately;
- ensure that such information is secure from unauthorised access;
- ensure that employees update employee personal records when their personal information changes;
- confirm that authorised employees enter stakeholder information accurately;
- ensure that such information is secure from unauthorised access; and
- ensure that employees update stakeholder information when their information changes.

Security

AICP must:

- keep all personal and/or stakeholder records in a secure location (both physical and electronic); and
- keep backups in a secure location.

Further Operational Implementation

The following information is provided to all prospective learners prior to enrolment:

- AICP will retain personal information about its learners relating to their enrolment. This includes their personal details, their ethnicity, their individual needs and their education background. It will also retain records of a learner's training activities and are required to do this in accordance with the National Vocational Education and Training Regulator Act 2011.
- All learners' personal information is retained within AICP's computer systems. Information is collected via the AICP enrolment form through a learner's completion of administrative forms and documents, and based on their training outcomes. Electronic data retained on the AICP computer systems is protected via virus protection software and the data is backed up regularly to a secure server.

- AICP is required by the National Vocational Education and Training Regulator Act 2011 to securely retain sufficient data of learner enrolment and course participation to be able to reissue a qualification and/or Statement(s) of Attainment for a period of 30 years.
- In some cases, AICP is required by law to make learner information available to Government agencies such as the National Centre for Vocational Education and Research and/or the Australian Skills Quality Authority. In all other cases AICP will seek a learner's written permission prior to the disclosure of their information. AICP will not disclose a learner's information to any other person or organisation unless it has written instructions from the learner to do so.
- If a learner requires their records to be accessed by persons such as their family, friends, co-workers or employer, they need to authorise this access otherwise this access will be denied.
- A learner has the right to access the information that AICP retains that directly relates to them and any requests for access to their records should be addressed in an email to the AICP Student Support team.
- The data collected will be used to enable AICP to provide individuals with the learning products they have requested, to inform them of other products they may be interested in, to assist with research and development of new AICP products, and to maintain and develop AICP's business systems and infrastructure.
- By downloading content such as information packs and entering their details on the AICP website, learners agree to receive marketing and promotional materials such as emails and text messages relevant to their enquiry.
- It is a condition of enrolment with AICP that a learner provide AICP with permission to respond to third parties (including other RTOs) requesting confirmation of the authenticity of any AQF certification documentation that AICP has issued to the learner and/or to confirm their course enrolment, participation and/or progress.
- Where a learner's course fees are paid by their employer, whether in part or fully, it is a condition of enrolment with AICP that the learner consents to AICP communicating with their employer for the purpose of providing updates on their learning progress and/or other information relevant to their learning journey with AICP.
- AICP may use third party advertising tools (including Google marketing and similar advertising). This means that information related to an individual's web browsing behaviour may be collected while visiting the AICP website, which later can be used by third-party vendors, including Google, for the purpose of showing AICP advertising on sites across the Internet which have been approved in the display network. Individuals have the option to opt out of Google's use of cookies by visiting the Google advertising opt-out page.
- Google AdWords Conversion Tracking: AICP may utilise Google AdWords Conversion tracking to help AICP collect general usage statistics on how many site visitors have clicked on AICP Google ads and made an enquiry or purchase. This may be tracked using cookies which do not contain any personal identifiable information and expire within 30 days. For more information or to opt out of this service, please refer to Google Advertising Policies and Principles.
- Facebook advertising: AICP may utilise the Facebook lead ad platform where individuals are able to provide their personal details (such as email and phone number) if they are interested in one of the AICP courses. By providing details via this platform, an individual is accepting AICP's terms and conditions, and also provide AICP with consent to send them promotional materials relevant to their enquiry. An individual can unsubscribe from promotional emails at any time.

This policy may only be deviated from at the discretion of AICP's CEO.