

Student / Participant Handbook

Version and Date:	Responsible Person:	Purpose and Comments:
Version 1 Effective: 1 st October 2025	CEO and/or their nominee	To assist with the induction of new and existing students or participants in better understanding of their rights and responsibilities.



Table of Contents

1. INTRODUCTION TO AUCTUS TRAINING INSTITUTE.....	3
1.1 WELCOME	3
1.2 WHO WE ARE?	3
1.3 OUR VISION	3
1.4 OUR MISSION.....	3
1.5 OUR VALUES	3
1.6 OUR STRATEGIC FRAMEWORK.....	4
1.7 OUR ORGANISATIONAL STRUCTURE	5
2. AUSTRALIAN VOCATION EDUCATION AND TRAINING (VET) SYSTEM	6
2.1 AUSTRALIAN QUALIFICATIONS FRAMEWORK	6
2.2 QUALIFICATION PATHWAYS	6
2.3 AUSTRALIAN SKILLS QUALITY AUTHORITY (ASQA).....	7
2.4 LEGISLATION AND STANDARDS	8
2.5 AUSTRALIAN NATIONAL REGISTER OF VOCATIONAL EDUCATION AND TRAINING (VET)	8
3. STUDENT/PARTICIPANT POLICIES AND PROCESSES.....	9
3.1 MARKETING AND PROVISION OF COURSE INFORMATION POLICY AND PROCESSES	9
3.2 ENROLMENT POLICY AND PROCESSES	13
3.3 RPL AND CREDIT TRANSFER POLICY AND PROCESSES.....	18
3.4 REASONABLE ADJUSTMENT POLICY AND PROCESSES	21
3.5 TRAINING MANAGEMENT SYSTEM POLICY AND PROCESSES.....	24
3.6 ASSESSMENT SYSTEM POLICY AND PROCESSES	29
3.7 WORK PLACEMENT POLICY AND PROCESSES	46
3.8 TRAINER AND ASSESSOR COMPETENCIES POLICY	52
3.9 FACILITIES, RESOURCES AND EQUIPMENT POLICY & PROCESSES.....	55
3.10 STUDENT SUPPORT AND WELLBEING POLICY AND PROCESSES.....	58
3.11 DIVERSITY AND INCLUSION POLICY AND PROCESSES	62
3.12 STUDENT FEEDBACK, COMPLAINTS AND APPEALS POLICY AND PROCESSES.....	64
3.13 PARCHMENTS	69
3.14 DEFERRALS.....	69
3.15 SUSPENSIONS, WITHDRAWALS AND TERMINATIONS.....	69
3.16 REFUNDS POLICY.....	70
3.17 CONTINUOUS IMPROVEMENT POLICY AND PROCESS	71
ACRONYMS.....	73
GLOSSARY OF TERMS	74



1. Introduction to Auctus Training Institute

1.1 Welcome

Welcome to Auctus Training Institute! Congratulations on choosing to undertake training to further enhance your skills, knowledge, and career options. This handbook provides you with information about your organisation, what you can expect from us and what we expect from you. You will also find useful information about our policies and procedures and some useful contacts. We look forward to providing you with optimal support and assistance throughout your training. Please feel free to approach your trainer with any additional queries you may have.

1.2 Who we are?

We, (Auctus Training Institute), are a Registered Training Organisation (RTO), which means that we have approval from the Australian Skills Quality Authority (ASQA) to deliver a range of nationally accredited qualifications.

Being an RTO means that we have to meet a number of requirements to make sure that the courses we offer meet national guidelines. This gives our students the confidence that the training they'll receive is of high quality and that the skills and knowledge they gain are recognised by employers and other training organisations throughout Australia.

For a complete list of the qualifications we offer, please visit:

<https://training.gov.au/Organisation/Details/40879> or ask your training coordinator.

1.3 Our Vision

Empowering people and organisations to grow to their fullest potential, no matter where they have come from.

1.4 Our Mission

To be the leading coaching and training organisation in Australia where people seek meaningful and flexible learning opportunities that makes a difference allowing them to grow their careers and life.

1.5 Our Values

Abundance - There is opportunity and resources for all.

Service - Providing a service or product to satisfy

People Equality - All people have the opportunity to be themselves as equals

Sharing success - Helping others succeed is your measure of success

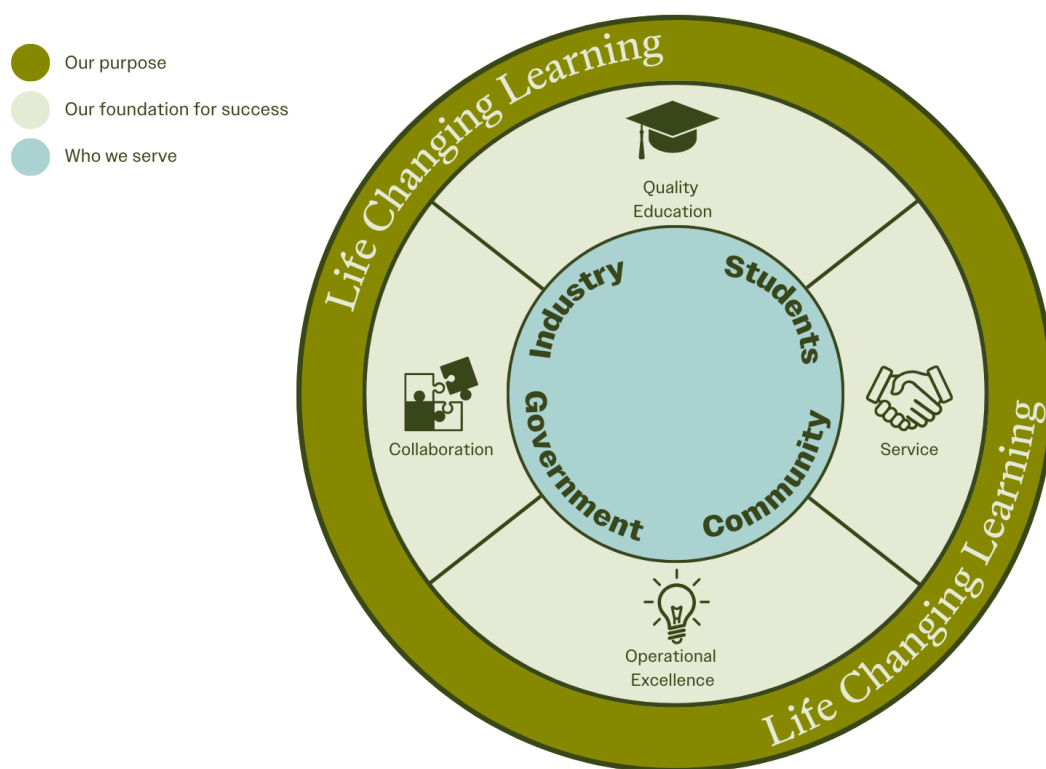
Integrity - What you say is what you will do

Fairness - Consideration on how all individuals can participate and succeed

Giving - The paradox is that when you give you become enriched in so many ways



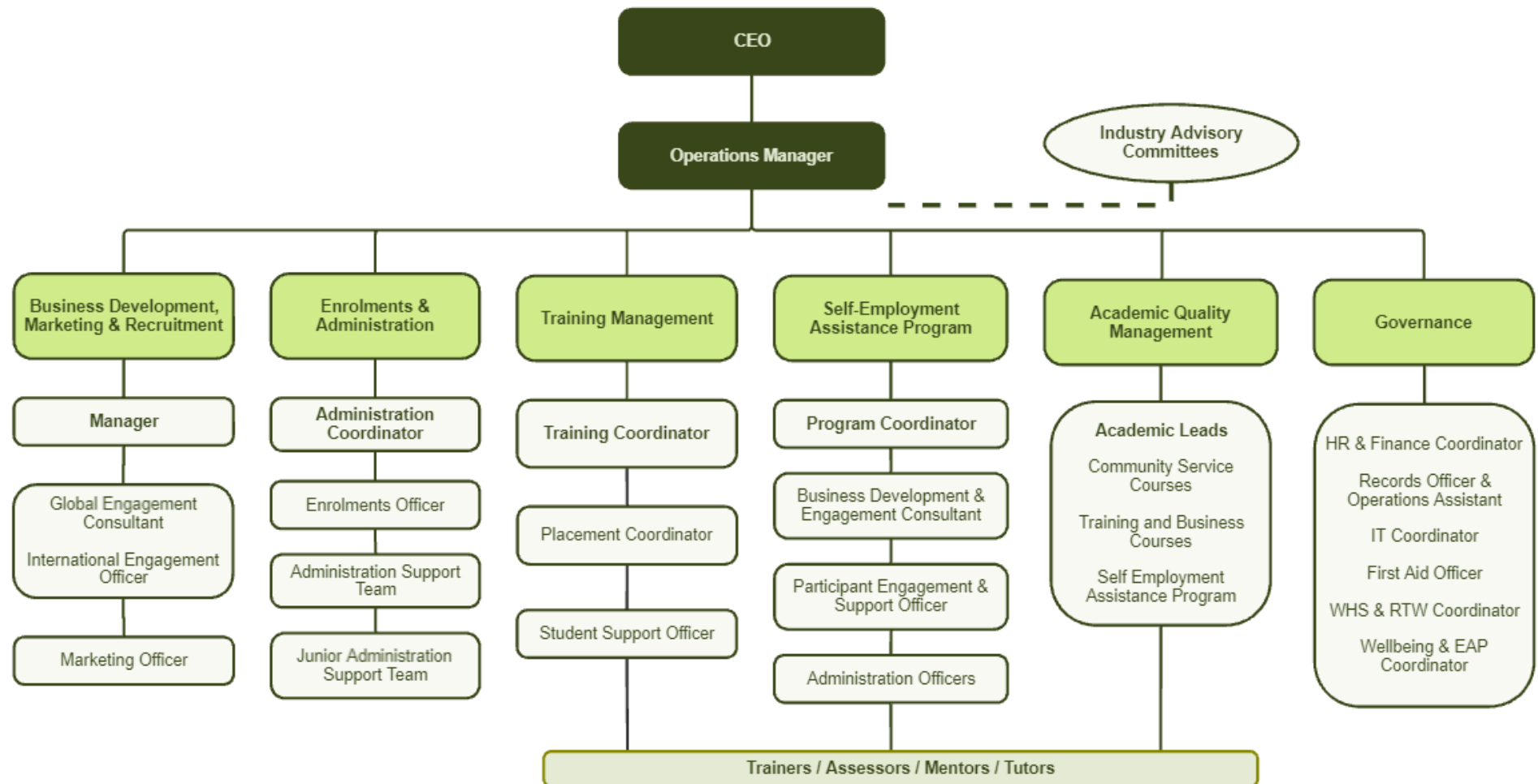
1.6 Our Strategic Framework



1.7 Our Organisational Structure

Our organisational structure is shown in the chart below and will be reviewed/updated on a regular basis to meet business needs.

Auctus Organisational Chart



Management will communicate any organisational structure amendments to stakeholders as soon as they are authorised.



2. Australian Vocation Education and Training (VET) System

2.1 Australian Qualifications Framework

The Australian Qualifications Framework (AQF) provides a comprehensive, nationally consistent yet flexible framework for all qualifications in post-compulsory education and training. The Framework was introduced Australia-wide on 1 January 1995.

The AQF comprises of fifteen qualifications. These fifteen qualifications are shown in Table 1 below, grouped according to the sector with authority for setting the standards of each qualification.

Schools Sector Accreditation	Vocational Education and Training (VET) Sector Accreditation	Higher Education Sector Accreditation
Senior Secondary Certificate of Education	Vocational Graduate Diploma	Doctoral Degree
	Vocational Graduate Certificate	Master's Degree
		Graduate Diploma
		Graduate Certificate
	Advanced Diploma	Bachelor's Degree
		Associate Degree
	Diploma	Advanced Diploma
	Certificate IV	Diploma
	Certificate III	
	Certificate II	
	Certificate I	

Table 1: AQF Qualifications According to Sector

A Registered Training Organisation (RTO such as AUCTUS, delivers accredited training under the VET sector and complies with the guidelines of the National Skills Framework.

The National Skills Framework incorporates the VET Quality Framework and the Training Packages.

The **VET Quality Framework** is a set of nationally agreed standards to ensure the quality of vocational education and training services throughout Australia. The VET Quality Framework ensures that all RTOs and the qualifications they issue are recognised throughout Australia.

The **Training Packages** set the standards for nationally endorsed qualifications for recognising and assessing people's skills. A training package describes the skills and knowledge needed to perform effectively in the workplace. They do not prescribe how an individual should be trained. Trainers develop learning strategies depending on learners' needs, abilities and circumstances.

2.2 Qualification Pathways

The Australian Qualifications Framework (AQF) is based on achieving competencies, which can lead to different levels of qualifications issued by Registered Training Organisations.

Within a Training Package, qualifications may range from Certificate 1 to Advanced Diploma levels.



Certificate II is entry level and will equip the learner with the basic technical, communication, teamwork and customer service skills required for that industry.

Certificate III is equivalent to a Trade Certificate and will equip the learner with the skills and knowledge required for working in a team, resolving problems, communicating with management and implementing policies and procedures.

Certificate IV is for those who are in middle management/supervisory roles and will equip the learner with all relevant management and leadership skills such as managing and training staff, human resources, finance, report writing and other enterprise specific skills.

Diploma or Advanced Diploma qualification is usually the next step after achieving a Certificate IV level qualification and a successful track record of work experience. It is a level five qualification and as such suitable to verify a candidate's skills and knowledge at an expert level in their particular field. This can be completed through various Colleges or Universities.

Training and assessment for the above qualifications is available through various options, including the following:

- Work-Based Training and Assessment – training is conducted at the learner's workplace where they're working, and they are not required to attend classes
- Face-to-face classroom-based Training and Assessment – training is conducted in a classroom environment and learners are required to attend classes
- Part Workshop-Based Training and Assessment / Part Work-Based Training and Assessment
- Blended Distance and E-Learning combined training and assessment via distance and online.
- Recognition of Prior Learning – recognition of skills developed through previous training, work or life experience, which matches a unit(s) of competency in a training course. If the learner has sufficient evidence and experience, they may be granted recognition for all the competencies within the qualification or where gap training is required, only for some of the competencies.
- Gap Training - Recognition of Prior Learning combined with Further Training as required

All of these options are available through AUCTUS. After consultation with the learner and their employer, the most suitable option will be selected to meet their requirements.

Undertaking nationally recognised qualifications means that the learner will be acquiring skills to meet the needs of industry and employers as well as their own. Each nationally recognised qualification has a selection of units to complete according to the required Training Package. The Training Package describes what skills and knowledge the learner needs to perform effectively, and their trainer will be assessing the learner's competence to these standards.

2.3 Australian Skills Quality Authority (ASQA)

ASQA is the main regulating authority for the vocational education and training sector in Australia. Their primary role is to ensure that education and training providers deliver high-quality training and assessment services that meet national standards.



2.4 Legislation and Standards

The Australian Federal Department of Employment and Workplace Relations (DEWR) is the custodian of the following VET legislation and standards that Auctus is registered under to provide vocational education and training:

- [National Vocational Education and Training Regulator Act 2011](#)
- [Outcome Standards for RTOs 2025](#)
- [Fair Work Act 2009](#)
- [Social Security Act 1991](#)

The Australian Federal Department of Education is responsible to enact the following legislation and standards that also apply to Auctus operations:

- [Disability Standards for Education 2005](#)
- [Education Services for Overseas Students \(ESOS\) Act 2000](#)
- [National Code of Practice for Providers of Education and Training to Overseas Students 2018](#)

Other legislations and instruments that directly affect Auctus operations include (but not limited to):

- [Privacy Act 1988 \(Cth\)](#)
- [South Australian Skills Act 2008](#)
- [South Australian Skills Standards](#)
- [South Australian Work Health and Safety Act 2012](#)
- [The Return To Work Act 2014 \(South Australia\)](#)

2.5 Australian National Register of Vocational Education and Training (VET)

Training.gov.au is the official National Register of Vocational Education and Training (VET) in Australia. It serves as the authoritative source for information on nationally recognized training, including training packages, qualifications, accredited courses, units of competency, and skill sets. It also provides details on Registered Training Organizations (RTOs) and their scope of registration to deliver nationally recognized training.



3. Student/Participant Policies and Processes

3.1 Marketing and Provision of Course Information Policy and Processes

1. Policy Objectives

This policy ensures that Auctus Training Institute:

- Provides clear, accurate, and current information to prospective and enrolled students.
- Enables students to make informed decisions about their training options and obligations.
- Communicates any changes to training products or services in a timely and transparent manner.
- Assesses and confirms the suitability of training products for individual students based on their skills, competencies, and personal circumstances.
- Complies with the Outcome Standards for NVR Registered Training Organisations, specifically Standards 2.1 and 2.2.

2. Scope

This policy applies to:

- All marketing, recruitment, enrolment, and student support activities.
- All staff and third-party providers involved in marketing, recruiting prospective students on behalf of Auctus and/or involved in providing information, and delivering training or assessment.
- All prospective and current students of Auctus Training Institute.

3. Provision of Course Information System

3.1 System Overview

The organisation ensures that all information provided to students is:

- **Clear:** Presented in plain language, free from jargon, and tailored to the student cohort.
- **Accurate:** Verified against current training package requirements, licensing conditions, and organisational policies.
- **Current:** Reviewed quarterly and updated immediately when changes occur.

3.2 Information Provided Prior to Enrolment

Before enrolment and payment of any fees, students receive full information regarding:

- **Training Product Details:**
 - Code and title
 - Duration and scheduling
 - Delivery mode (online, face-to-face, blended)
 - Location of delivery
 - Commencement dates
 - Assessment requirements
 - Work placement or industry experience requirements
 - Licensing or regulatory requirements (if applicable)
 - Transition arrangements for superseded or deleted products



- **Support Services:**
 - Academic support
 - Wellbeing and counselling services
 - Language, literacy, Numeracy and Digital (LLND) skills support
 - Disability and access support
- **Fees and Charges:**
 - Total course fees
 - Payment terms and conditions
 - Refund policy
 - Government subsidies or entitlements
 - Additional costs (e.g. materials, equipment, travel)
- **Student Obligations:**
 - Equipment or materials required to study at Auctus
 - Unique Student Identifier (USI) requirements
 - Withdrawal and deferral processes
 - Work placement expectations
 - Any liabilities imposed by third parties
- **Third-Party Arrangements:**
 - Name and role of any third-party provider
 - Contact details and escalation pathways
 - Oversight and quality assurance mechanism

3.3 Communication Channels

- Website, social media and course brochures
- Student handbook
- Orientation sessions
- Email and SMS notifications
- Learning Management System (LMS) announcements
- Third-party onboarding materials

3.4 Change Notification System

The management team (CEO, Operations Manager and Academic Leads) have subscribed to receive change notifications via training.gov.au. All changes are discussed promptly, and students and trainers are informed by the Training Coordinator. The organisation notifies trainers and students of changes to:

- Training product codes, titles, or content
- Delivery modes, locations, or schedules
- Fees, support services, or third-party arrangements
- Ownership or governance of the RTO
- Transition arrangements for superseded or deleted products

Notifications are issued via email, SMS, LMS, and direct contact where appropriate.

4. Suitability of Training Products

4.1 System Overview

The organisation ensures that students are enrolled in training products that are appropriate for their:



- Career goals
- Prior learning and experience
- Language, literacy and numeracy levels
- Digital literacy capabilities
- Physical and cognitive abilities
- Personal circumstances and learning preferences

4.2 Suitability Assessment Process

- **Pre-Enrolment (Suitability) Interview:** Conducted to understand student goals, background, and expectations.
- **LLN and Digital Literacy Assessment:** Identifies support needs and confirms readiness for the course.
- **Training Product Suitability Outcome:** Matches student profiles with appropriate qualifications.
- **Referral Pathways:** Provided when a student is better suited to an alternative course or provider.
- **Reasonable Adjustments:** Offered to support students with disabilities or learning barriers

4.3 Responsibilities

- **Recruitment and Enrolment Officers:**
 - Conduct suitability assessments and complete relevant documentation
 - Provide guidance on alternative pathways.
 - Discuss student's previous trainings and work experience to identify opportunities for credit transfers and RPLs
 - Issue enrolment application forms to suitable prospective students
 - Review submitted enrolment applications, check data accuracy, USI and identify student needs for reasonable adjustments
 - Discuss student needs with the Student Support Officer to plan the required adjustments, involve trainers/assessors if needed.
 - Issue Letters of Offer and Payment Agreements
 - Issue Confirmation of Enrolments (CoE)
 - Send Welcome Emails including training schedules and instructions for orientation, introducing trainers/assessors and class details
- **Training Coordinator and Student Support Officer**
 - Liaise with the enrolment team to identify students with special needs
 - Make notes in the student file and liaise with the trainers/assessors to make plans to ensure those student needs are met
 - After training commencement, follow up student progress reports and check if student needs are being met or further adjustments (or referrals) are needed
 - Report outcomes in the management meetings
- **Trainers and Assessors:**
 - Participate in suitability assessment process if requested by the recruitment and enrolment team



- Provide advice in regard to meeting student needs
- After training commencement, monitor student progress and flag suitability concerns to the Student Support Officer.
- **CEO / Operations Manager:**
 - Ensures suitability processes are documented, validated, and reviewed.
- **Third-Party Coordinators:** Ensure external staff follow Auctus's suitability and enrolment protocols and report concerns.

5. Self-Assurance Activities

To ensure compliance and continuous improvement, Auctus will implement the following:

Accessible and Accurate Information

- Every advertisement or marketing campaign is reviewed prior to release. A compliance checklist is completed, and all records are kept in the Marketing Register.
- Conduct quarterly audits of website, brochures, and enrolment documents.
- Survey students on clarity and usefulness of pre-enrolment information.
- Validate third-party marketing materials annually (if applicable).

Timely Communication of Changes

- Maintain a change log for training products and services.
- Notify students of changes via email, SMS, and LMS.
- Include change communication in internal audit scope.

Suitability Assurance

- Review LLN and pre-enrolment suitability interview outcomes quarterly.
- Track student progression and withdrawal data to identify suitability issues.
- Provide staff training on assessing suitability and making referrals.

Continuous Improvement

- Update staff training based on feedback and audit findings.
- Document improvements in the Continuous Improvement Register.

6. Associated Documents

- Auctus website
- Auctus social media accounts on LinkedIn, Instagram, Facebook, TikTok, and YouTube
- Marketing Register
- Marketing compliance checklist
- Auctus Student Handbook



3.2 Enrolment Policy and Processes

1. Policy Objectives

This policy outlines the enrolment system at Auctus Training Institute to ensure that all prospective students are enrolled in suitable training products through a fair, transparent, and rigorous process. It ensures compliance with the Outcome Standards for RTOs 2025 and supports industry expectations for professional workforce development.

2. Scope

This policy applies to all prospective students, enrolment staff, trainers and assessors, and third-party providers involved in the enrolment process at Auctus Training Institute.

3. Enrolment Process

The organisation works closely with employers and industry partners to design training programs that meet industry requirements. Enrolment into any qualification is subject to selection criteria and/or entry requirements to assess the candidate's suitability for the course and the industry.

Steps in the enrolment process include:

- Participation in a UAN (Upfront Assessment of Need)
- Suitability Interview
- Assessment of Language, Literacy, Numeracy and Digital (LLND) skills
- Enrolment Documentation
- Letter of Offer and Payment Agreements
- Confirmation of Enrolment

4. Upfront Assessment of Need (UAN)

The purpose of the UAN is to establish:

- Learner suitability for the course
- Support needs
- Literacy and numeracy capabilities

Students are encouraged to participate in this process to the best of their ability for a transparent assessment.

5. Suitability Assessment Criteria

The suitability interview assesses the following:

- Attitudes and enthusiasm to work in the relevant industry
- Capability in communication skills
- Capability to interact with others and perform as a member of a team
- Customer service skills
- Knowledge of and ability to work utilising digital platforms
- Ability to meet specific industry requirements

The assessment of the suitability and outcome are recorded and filed in the student files.



6. Assessment of Foundation Skills

To ensure that all prospective students possess the necessary foundation skills—language, literacy, numeracy (LLN), and digital skills—required to successfully engage with their chosen vocational education and training (VET) course and meet workplace demands.

The assessment results also guide the development of training resources and support strategies.

In alignment with the 2025 Standards for RTOs, Auctus Training Institute will:

- Assess each student's foundation skills prior to enrolment.
- Use validated tools to determine whether students have the required skills to undertake the course.
- Provide support or refer students to appropriate services if gaps are identified.

Foundation Skills Assessment Process:

i. Pre-Enrolment Information

- All prospective students are informed about the foundation skills requirements during initial enquiry and application.

ii. Initial Screening

- Students complete a Foundation Skills Diagnostic: The organisation uses 'Core Skills Profile for Adults tool for the LLND assessment. This tool is provided by the Australian Council for Educational Research (ACER) which is approved by the Australian Government, Department of Employment and Workplace Relations (DEWR).
- The assessment is contextualised to the training product and includes reading, writing, numeracy, oral communication, and digital literacy components.

iii. Assessment Review

- Results are reviewed by staff to determine suitability for the course.
- If gaps are identified, the student is:
 - Offered reasonable adjustments (where appropriate).
 - Referred to support services or bridging programs.
 - Provided with tailored learning plans if enrolled.

iv. Documentation and Record-Keeping

- Assessment outcomes are documented and stored securely.
- Records are used to inform training and assessment strategies and validation processes.

v. Continuous Improvement

- Foundation skills assessment tools and processes are reviewed annually.
- Feedback from students and trainers informs improvements.
- Validation of assessment practices is conducted regularly as per Standard 1.5

7. Enrolment Documentation

All students must complete enrolment documents correctly, including signatures and dates. If enrolling via email, the email itself is considered an electronic signature if forms are unsigned.

Students will also be required to upload their identity documents and appropriate visa/residency status to verify funding arrangements and the appropriate tuition fees.



8. Letter of Offer and Payment Agreements

The enrolment officer collects all relevant information and presents it to the CEO or their nominees for final decision. Auctus reserves the right to accept or deny any enrolment application.

If the enrolment application is successful, prospective students will be offered a place in their chosen course. This offer is written in the Letter of Offer (LoO) which is an important document and serves as an agreement between Auctus Training Institute and the student. Therefore, Auctus team strongly recommend that before signing this document (i.e. LoO), student thoroughly read and understand their obligations under this agreement. The Letter of Offer contains the following information:

- Qualification code and name
- Group (class) code
- Course start date and expected completion date
- Training location
- Mode of delivery
- Course fee
- Course attendance and progression requirements
- Available supports
- Privacy notice
- Student code of conduct
- Refund policy
- Complaints and appeals process
- Academic integrity (Collusion, plagiarism and cheating) requirements
- Training Schedule
- Student Handbook
- Student acceptance signature

9. Confirmation of Enrolment (CoE)

Once a student has accepted the Letter of Offer and paid their first invoice, A Confirmation of Enrolment (CoE) is issued immediately to confirm a student's place in the course.

Without the payment made within the due date, a student's place in the course is not confirmed even if they have accepted the letter of offer.

10. Changing Enrolled Group or Class

Students may change their scheduled group prior to class commencement without a fee, subject to availability. After commencement, a \$150 fee applies for schedule changes, contingent on alternate class availability. If continuation is not possible, students may defer or withdraw. No refunds are offered.

11. Training Plan and Schedule

Training needs are assessed during enrolment using the Enrolment Application Form and suitability interview. Outcomes are recorded, and if suitable, students are offered a place. Credit transfers (CT) and recognition of prior learning (RPL) are documented. Students receive a training schedule and are informed of study requirements including work placement, third-party reports, research, and projects.

12. Cancellations and Refunds Policy

If a student cancels or withdraws from their enrolment in writing more than 10 working days prior to commencement of training, they may:



- Transfer to another course
- Receive a refund, less administration costs of \$150

If a student withdraws from a course within 10 working days of commencement of training or at any time after commencement:

- No refund will be given.
- Special circumstances may be considered where a medical condition would preclude the student from participating in the course. A medical certificate will be required for this to be considered.
- If a student genuinely believes they should be given a refund they can provide an explanation in writing to the CEO. The CEO will consider the merit of the request and reserves the right to refuse the application for a refund. Should any refund be granted, administration fees of \$150 and resource fees will be deducted from the amount. Any training already provided will also be considered in determining the refund; training fees are estimated to be \$300 per training session attended.
- The organisation makes every reasonable effort to ensure all advertised courses start on the date specified. However, when this is not possible and a course is cancelled by AUCTUS, students will be provided with an alternative commencement date, an alternative course or receive a complete refund.

If a student withdraws after the course commences, no refund will be given for any reason.

13. Student Code of Conduct

Every student is required to read, understand and abide by the 'Code of Conduct' Agreement at the time of enrolment. The requirements of the Code of Conduct include:

1) Respect:

To show consideration and respect for fellow students, trainers and staff, visitors, other community members as well as Auctus environment and property. To abide by Auctus policies and procedures in relation to equality and diversity, health and safety, course work and plagiarism. Any verbal or physical abuse will not be tolerated. Any offensive or inappropriate behaviour that is directed towards Auctus staff, other participants and trainers is a breach of the Code of Conduct and will result in the termination of the student from the course.

2) Active participation and English language proficiency:

To contribute to class discussions and coursework positively. An understanding that a good command of English language is required to study any course at Auctus. To understand that Trainers at Auctus (through my participation in academic activities and assessments) will assess my level of English and communication skills to check if it meets the requirements to work in the industry. If Trainers have any concern about the English language proficiency (i.e. listening, speaking, writing and reading comprehension) of the student, they will offer feedback which should be taken seriously and students are required to take steps to improve their English level. It is important to note that a good command of the English language is a pre-requisite to perform work duties in the Australian industry. Auctus is not responsible for a definite career outcome.

3) Payments:

I understand that if I am offered a payment plan from Auctus, I will stick to it and pay my charges on time. I also understand that I may not be able to continue my study at Auctus if I fail to pay charges by the deadlines. This will forfeit my right to obtain my certificate from Auctus.

4) Privacy and confidentiality:



I will not transmit any communications or images (via phones, IT or other means) which may cause distress. I will respect privacy and confidentiality of others and will not use names, contact details or images of other students or members of staff without their prior permission.

5) Alcohol and drugs:

I will neither consume alcohol nor possess any illegal substance while I am on Auctus premises. Smoking is only allowed in the designated smoking area outside of the building. Students should not attend any sessions at Auctus if under the influence of drugs and alcohol.

6) Social media policy:

I will seek permission from the Director before making use of the Auctus logo or images or any other publicity material. I will seek the Director's approval before broadcasting or publishing information about Auctus or members of the Auctus community.

7) Student handbook:

Students are required to read and understand Auctus' Student Handbook and agree to uphold to their obligations and responsibilities. The Student Handbook is available in our offices (printed format) or online via our website. our website: <https://www.auctus.com.au/policies-and-procedures-domestic-students>

8) Personal hygiene and appearance:

While studying at Auctus, you will be engaged in close proximity with others including students, trainers and staff, therefore care with your personal hygiene (neat clothing, brushed hair, use of mild deodorant etc.) is paramount. You are required to maintain personal appearance should be professional which includes wearing neat and clean smart casual dress, minimum.

14. Self-Assurance Activities

To ensure compliance and continuous improvement, the organisation will:

- Conduct quarterly audits of enrolment documentation and decisions
- Review suitability interview outcomes and UAN results monthly
- Survey students on enrolment experience and clarity of information
- Include enrolment practices in internal audits and continuous improvement register

15. Associated Documents

- Auctus Admin (SMS) workflows
- UAN Form
- Suitability Assessment
- Assessment of Foundation Skills (i.e. LLND) using the 'Foundation Skills Requirements' tools
- Letter of Offer template
- Payment agreement template
- Confirmation of Enrolment (CoE) template
- Training Plan (Schedule) template
- Cancellation and Refunds Policy



3.3 RPL and Credit Transfer Policy and Processes

1. Policy Objectives

This policy ensures that Auctus Training Institute:

- Provides fair, transparent, and accessible processes for students to have their prior learning and qualifications recognised.
- Maintains the integrity of qualifications by applying rigorous assessment and verification processes.
- Complies with the Outcome Standards for RTOs 2025 (particularly Standards 1.6 and 1.7) and aligns with the principles of assessment and rules of evidence.
- Supports students to progress efficiently through their training by recognising existing competencies and qualifications.

2. Scope

This policy applies to:

- All prospective and current students of Auctus Training Institute.
- All staff involved in student enrolment, assessment, and academic support.
- Third-party providers delivering training or assessment on behalf of Auctus.

3. Recognition of Prior Learning (RPL) System

3.1 Overview

RPL is a form of assessment that acknowledges skills and knowledge gained through formal and informal learning, work experience, volunteering, or life experience. It must be conducted with the same rigour as any other form of assessment.

3.2 Key Components

- **RPL Information Pack:** Provided at enrolment and available online. It outlines eligibility, process, evidence requirements, and timelines.
- **RPL Application:** Captures student background, units requested for RPL, and supporting documentation.
- **Gap Training Plan:** Developed collaboratively with the student when evidence is insufficient to meet competency requirements.

3.3 Assessment Requirements

- RPL assessments must meet the principles of assessment (validity, reliability, fairness, flexibility) and rules of evidence (valid, sufficient, authentic, current).
- Assessors must hold the required TAE qualifications and current industry skills (Standards 3.2 and 3.3).
- All decisions must be documented, justified, and retained in the student's file.

3.4 Responsibilities

- **Enrolment Officer and Trainers:** Provide guidance on RPL eligibility and assist with application preparation.
- **Assessors:** Conduct RPL assessments using approved tools and document outcomes.



- **Academic Leads:** Oversees the RPL system, ensures validation, and monitors third-party RPL practices.
- **Third-Party Coordinators:** Ensure external assessors follow Auctus's RPL policy and are appropriately qualified.

4. Credit Transfer System

4.1 Overview

Credit transfer is the formal recognition of equivalent units previously completed at another RTO or issuing body.

4.2 Key Components

- **Credit Transfer Information:** Discussed during pre-enrolment (using the Suitability Assessment Form) and program orientation.
- **Credit Transfer Application:** Requires submission of AQF certification or authenticated USI transcript.
- **Equivalency:** Training.gov.au records are used to determine if the unit is equivalent (current or superseded equivalent).
- **Alternative Pathway Advice:** Provided when credit transfer or RPL is not deemed suitable, including options for gap training.

4.3 Verification and Documentation

- All AQF documentation must be verified via the USI transcript service or by contacting the issuing RTO.
- Decisions must be recorded in the student management system and communicated to the student in writing.
- Credit transfer must not be granted where equivalency cannot be confirmed or where licensing requirements prevent it.

4.4 Responsibilities

- **Enrolment Officers:** Verify documentation and initiate the credit transfer process.
- **Assessors:** Confirm equivalency and ensure decisions are consistent and documented.
- **Administration Coordinator:** Ensures authenticity checks and policy adherence.
- **Third-Party Coordinators:** Ensure external staff understand credit transfer boundaries and documentation requirements.

5. Self-Assurance Activities

To ensure compliance and continuous improvement, Auctus will implement the following:

Awareness and Access

- Include RPL and credit transfer information in all enrolment materials.
- Conduct orientation sessions that explain eligibility and application processes.

Evidence Authentication

- Require original or certified copies of AQF documents.
- Use the USI transcript service or contact issuing RTOs for verification.



Consistency and Rigour

- Conduct quarterly audits of RPL and credit transfer decisions.
- Include RPL and credit transfer in validation and moderation activities.

Clarifying RPL vs Credit Transfer

- Provide staff with decision trees (flow chart) and training on distinguishing between RPL and credit transfer.

Equivalency Determination

- Refer to training packaging rules on training.gov.au to determine equivalency of units and cross referencing.
- Review equivalency decisions annually.

Staff and Third-Party Training

- Provide regular PD on ethical RPL and credit transfer practices.
- Include training on managing student expectations and avoiding “easy RPL” or Credit Transfer messaging.

6. Associated Documents

- Auctus Admin (SMS) workflows
- Upfront Assessment of Need (UAN) Form
- Assessment of Foundation Skills (i.e. LLND) records
- Suitability Assessment Form
- Enrolment Process Flowchart
- Letter of Offer template
- Payment agreement template
- Confirmation of Enrolment (CoE) template
- Training Plan (Schedule) template
- Cancellation and Refunds Policy
- Student USI records
- Specific RPL Application for the relevant qualification
- RPL Process Flowchart



3.4 Reasonable Adjustment Policy and Processes

1. Policy Scope

The policy is applicable to all Auctus employees, students and/or prospective students as well as third parties. It applies to adjustments that organisation may make to its training and assessment services to meet the needs of individual students with a disability or a medical condition.

2. Policy Statement

To ensure all students have the same opportunities for a quality education or training while studying at Auctus, despite of any disability. The Disability Discrimination Act (DDA) makes it unlawful to discriminate against a person on the grounds of a disability. Section 22 of the DDA sets out requirements for educational authorities and providers. The organisation will comply with the requirements of the Act and implement this policy consistently and fairly across all programs and any student enrolled into a program with Auctus.

3. Definition

According to the Disability Standards for Education (2005), reasonable adjustment refers to a “measure or action taken to assist a student with disability to participate in education and training on the same basis as other students”.

The types of disability covered under the definition in the DDA includes:

- physical disabilities
- intellectual disabilities
- psychiatric disabilities
- sensory disabilities
- neurological disabilities
- learning disabilities
- physical disfigurement
- the presence in the body of disease-causing organisms.

4. Legal requirements

The Disability Standards for Education (Education Standards) under section 31 of the DDA outline legal obligations of providers in relation to meeting the needs of learners (students) with a disability. The organisation will meet its obligations by providing reasonable adjustments to students with a disability to ensure they have the same opportunities as other students to participate in the course and use all relevant services and facilities. The organisation will take steps to prevent harassment or victimisation of all students by any other person.

5. Procedures

The organisation’s management team recognises that reasonable adjustments should be negotiated individually. It ensures that all employees are aware of their responsibilities and that appropriate professional development (PD) is offered to help employees feel comfortable in negotiating and implementing adjustments.

Prior to confirming enrolments, the organisation invites disclosure by prospective students with a disability if they require adjustments to support their learning. Usually, the student with disability is the best person to explain the impact of their disability on their study and identify the adjustments that may



help them, or they have found useful in the past. Students are advised that they may be asked to provide documentation from a medical or other health professional to help guide this process.

Upon any disclosure or identification of any reasonable adjustment needs, the enrolment team should discuss those needs with the relevant trainers/assessors and/or the Academic Leads to ensure those needs of the students can be accommodated during their study and appropriate measures are in place. The organisation will apply reasonable adjustments to its assessment system to allow for the individual needs of students with a disability, considering the Principles of Assessment, specifically fairness and flexibility.

Auctus trainers and assessors always consider the student needs in the assessment process and makes reasonable adjustments (e.g. by providing oral rather than written assessment) without compromising the rigour of the assessment process (e.g. if there is a requirement to complete documentation in a unit of competency, oral assessment will not be appropriate).

All adjustments to training and assessment must be approved by the relevant Academic Lead or the Operations Manager or the CEO. These adjustments must be recorded and tracked through Auctus Training (LMS) to monitor the effectiveness of the adjustment.

The relevant staff will also apply the Education Standards at course completion by ensuring that all students with a disability who have met the course requirements through reasonable adjustment receive the same recognition as students without a disability.

6. Determining Reasonableness

The determination of 'reasonableness' takes into consideration the suitability of the adjustment to the student with a disability as well as the likely impact on the organisation and other students. Any adjustment must not create unjustifiable hardship, including unreasonable costs, for the organisation and/or any other parties, including other students.

Similarly, the trainers and assessors must ensure that the integrity of the unit/s of competency is maintained. Where completion of the qualification is specifically related to an 'occupational' outcome, any adjustment to the assessment process may only be accommodated if the workplace can be similarly 'adjusted' to accommodate the needs of the student.

It is important to note that the need for reasonable adjustments may also arise after a student has already commenced their studies with Auctus. This could be due to either some medical conditions which flare-up (e.g. pregnancies, severe allergies) or sporadic (e.g. multiple sclerosis) for any reasons. Students in this situation are advised to consult with their trainers/assessors as soon as possible. They may be asked to provide documentation from a medical or other health professional to help guide this process. Any reasonable adjustment needs must be negotiated before an assessment is started.

Engaging in reasonable adjustment activities, such as assisting students to identify their learning needs or offering a variety of training and assessment options, demonstrates good practice by the organisation and its employees.

7. Possible Reasonable Adjustments

What adjustments can be offered to meet the needs of students will be negotiated individually on a case-by-case basis. Some examples of adjustments used by the organisation may include:

- Modifying or providing equipment



- Changing training/assessment procedures (e.g. additional reading/perusal time and/or writing/typing time for exams)
- Provision of a scribe, notetaker or participation assistant
- Using assistive devices
- Lecture notes or other material provided in different formats
- Verbal assessment as a direct replacement for written assessment
- Technology options for vision-impaired learners to assist them with reading and interacting with learning resources
- Liaison with work placement organisations to provide additional support for learners during their work placement
- Hard copy resources where there is a student need
- Additional individual tutorials to work through learning materials with the trainer/assessor
- Extension in due dates for assessment submissions or study completion.

Advice for trainer/assessors about reasonable adjustments for individuals with disabilities should be sought from and approved by the relevant course Academic Leads. All adjustments to training and assessment must then be recorded and tracked through Auctus Training (LMS) to monitor the effectiveness of the adjustment.

8. Legislative/statutory requirements

- Standards for Registered Training Organisations (RTOs) 2025
- Disability Discrimination Act 1992 (DDA),
- Disability Standards for Education 2005

9. Associated Documents

- Enrolment Policy and Processes
- Enrolment Process Flowchart
- Student Handbook
- Training Management System Policy and Processes
- Assessment System Policy and Processes
- RPL Process Flowchart
- The Employee Handbook
- Training and Assessment Strategies (TASs)

10. Self-Assurance Activities

The effectiveness of this Policy will be determined by:

- Outcomes of surveys results (or feedback) from students with special needs
- Trainer/assessor feedback
- Number of complaints received related to student's dissatisfaction regarding assessment process where reasonable adjustment was required.

11. References

[Australian Disability Clearinghouse on Education and Training](#)

[ASQA Factsheet: Providing quality training and assessment services to students with disabilities](#)



3.5 Training Management System Policy and Processes

1. Purpose

This policy outlines the framework for managing training delivery, support services, facilities, resources, and equipment to ensure compliance with the Standards for RTOs and to support quality outcomes for VET students.

2. Scope

This policy applies to all training and assessment activities conducted by Auctus Training Institute, including those delivered by third parties.

3. Policy Statements

3.1 Training Design and Delivery

- Training is structured, paced, and delivered in alignment with the requirements of the training product.
- Delivery modes (e.g., face-to-face, online, blended) are selected based on student needs and industry relevance.
- Training incorporates engaging techniques, sufficient practice opportunities, and feedback mechanisms.
- Clustering of units is documented and justified.
- Work placements are integrated appropriately and supervised to ensure skill acquisition.
- The industry feedback is incorporated in the training design and delivery.

Self-Assurance Activities:

- Review training design against training product packaging rules.
- Collect feedback from students and trainers on pacing and engagement.
- Document rationale for clustering units.
- Evaluate work placement environments for supervision and relevance.
- Monitor student outcomes and adjust delivery accordingly

3.2 Monitoring of Study Progress

- System is in place to monitor every student's individual study progress.
- Trainers must use Auctus Admin (student management system) to record student Study Progress Reports which include attendance, active participation, communication and foundation skills level, adherence to assessment due dates and student code of conduct.
- Students are expected to maintain attend rate of at least 80% for the knowledge delivery sessions and 100% of the practicals delivery sessions.
- Student Support team liaise with trainers and students if the study progress is not as expected. Students are engaged in constructive discussion to identify the barriers and ways to address them. The records of these discussions are kept on student file notes.



Self-Assurance Activities:

- Monitor student attendance records
- Student support team to liaise with the Trainer and the student to discuss barriers.
- Monitor every trainer is completing individual student progress reports on Auctus Admin as per Training Schedule.
- Student support team to discuss concerns related to student's progress with the students and trainers/assessors and identify barriers.
- Trainers and student support team to organise appropriate support for the student and make referral if required.

3.3 Industry Engagement

- Industry, employer, and community representatives are identified and engaged regularly.
- Feedback is collected and used to inform training and assessment strategies.
- Training reflects current industry practices, including regulatory and licensing requirements.
- Continuous improvement is driven by feedback and reviews.

Self-Assurance Activities:

- Maintain records of industry consultations and feedback.
- Review training strategies following industry changes.
- Evaluate purchased resources for contextual relevance.
- Document improvements made based on feedback.

3.4 Training Support Services

- Student needs are identified through pre-enrolment checks and ongoing monitoring.
- Support services include LLN support, assistive technology, tutorials, and individualised trainer access.
- Students are informed of how and when to access support services.
- Queries are responded to in a timely manner.
- In addition to normal student training and assessment product support, the organisation will, when required, facilitate access to a range of learning and Wellbeing Support services for individuals participating in our programs.
Some of these services are undertaken in-house whilst other more specialist services are outsourced on a commercial referral basis.

Additional support services areas include:

- Student academic support (provided in-house) through specific administration, trainer/assessor/tutor access
- Success and wellbeing services including counselling for vocational, emotional, financial and psychological needs (provided via external referrals)
- Access to language, literacy, and numeracy support (provided externally)
- Reasonable adjustment and disability access support (provided in house and/or outsourced referral)
- Payment planning (in-house)
- Personal assistance programs (external referrals)



Students requiring access to additional support should make an appointment to meet with the Student Support Officer or Training Coordinator who will assess the type and level of support needed and refer to student as appropriate. Their contact details are made available to the students at various touch points throughout the student journey including our website, notice boards in our classroom and during the orientation session.

Students who have been referred for external supports will be monitored by the student support team to ensure student is getting the right support towards their goals.

Learning and Wellbeing Support Services are monitored by the Student Support Officer and reported in monthly management meetings.

Self-Assurance Activities:

- Conduct pre-enrolment checks to identify student needs.
- Monitor student progress and provide targeted support.
- Track response times to student queries.
- Review third-party support services for quality and relevance

3.5 Reasonable Adjustments

- Students are encouraged to disclose disabilities and special needs at the enrolment stage, with privacy and sensitivity.
- Students are also advised that they should disclose any needs that arise after they have started their course with Auctus to their trainers and Auctus student support team.
- Reasonable adjustments are offered in line with the Disability Standards for Education 2005. In addition, extra efforts are also made by Auctus staff to cater for student needs.
- Adjustments may include flexible scheduling, assistive technology, alternative formats, and physical environment changes.
- Where adjustments are not feasible, reasons are documented and communicated.
- Engagement with students and staff ensures collaborative implementation of adjustments.

Self-Assurance Activities:

- Provide clear channels for disclosure of special needs and disabilities.
- Engage with students and staff to implement adjustments.
- Review adjustment effectiveness and compliance with Disability Standards and through student feedback.
- Document decisions and communications regarding adjustments.

4. Training Session Protocol

4.1 Facilities and Training Rooms

- Students will be allocated a study/work area to complete the activities for your training or assessments.
- Students are responsible for the tools and equipment, cleanliness and general housekeeping for this area.
- Students to clean their work area at the end of each day to ensure it remains safe and tidy for others.



- Any damage or loss to equipment is your responsibility. A fee may be charged for equipment lost or damaged due to incorrect use.
- Students should show respect for other persons' belongings and under no circumstances take or remove them without the owner's permission
- If your training requires you to be on a work site, you must report immediately upon arrival to the trainer or your supervisor and must under no circumstances operate any equipment or machinery without permission
- Pets and children are not allowed in our training rooms and facilities.

4.2 Session Times

- Be ready to start your training session at the time specified by your trainer
- Ensure you arrive on time to avoid disrupting class
- Return promptly from morning, lunch, and afternoon breaks
- The training day is completed at the time specified by your trainer
- During training sessions, trainers may allow a short informal break to assist the learning process.

4.3 Attendance Records

- The trainer will record student attendance for every training session. Trainers also record late starts, early checkouts and absences. The attendance information is analysed as part of Study Progress Reports by the student support team. This information can be made available to a study sponsoring employer or a funding body where appropriate
- Please notify your trainer by 9.30 AM via email on the day of illness or absence.

4.4 First Aid

Please report all concerns, accidents/incidents and injuries immediately to a trainer or our First Aid Officer, regardless of how minor they may seem. If it is not an injury, you should report any concerns or incidents by simply filling out a 'Feedback Form' on Auctus website. Visit <https://www.auctus.com.au/feedback>.

Incidents are dealt with as soon as possible by our First-aid officers and the compliance team. You may be contacted to obtain more information where required. Your reporting helps Auctus to manage incidents, provide proper responses and implement strategies to improve our systems, processes and our environment.

5. Responsibilities

- **Trainers and Assessors:** Deliver training in accordance with this policy, support student needs, monitor student progress and complete study Progress Reports on Auctus Admin as required according to the Training Schedules.

If any student's Progress Report is not satisfactory, discreetly hold a conversation with the student and try to identify the cause. Depending on the cause, appropriate support must be offered in line with the Student Support and Wellbeing Policy and Processes.

If no reasonable cause can be identified, student should be reminded of their obligations to study commitment under the Letter of Offer agreement, Student Handbook, Student Code of Conduct, and Student Assessment Instructions.



- **Training Coordinators:** Monitor training delivery quality, effectiveness of support services, facilities and resource suitability and present reports at the monthly management meetings.
- **Student Support Officers:** Read through all student Progress Reports and identify students whose Progress Reports are not satisfactory. Then liaise with the relevant trainer/assessor/mentor to discuss particular student concerns and offer appropriate support in line with the Student Support and Wellbeing Policy and Processes.
- **CEO and Operations Manager:** Ensure policy alignment with regulatory standards and effective implementation of this policy. This will be achieved by analysing reports in team meetings and monthly management meetings.

6. Monitoring and Review

- This policy will be reviewed annually or upon significant changes to training products, delivery modes, or regulatory requirements.
- Feedback from students, staff, and industry will inform updates.

7. Associated Documents

- Auctus Admin (SMS) Student Records (Attendance, Progress Reports and Notes)
- Enrolment Policy and Processes
- Training Schedules
- Auctus Student Handbook
- Assessment System Policy and Processes
- Auctus Employee Handbook
- Training and Assessment Strategies (TASs)
- Student Instructions for each unit/module
- Trainer and Assessor Competencies Policy



3.6 Assessment System Policy and Processes

1. Purpose

To ensure that all assessment practices at Auctus Training Institute are valid, reliable, fair, and flexible, and that they meet the requirements of the training product and the Standards for RTOs 2025.

2. Scope

This policy applies to all training products on Auctus Training Institute's scope of registration and to all staff involved in the design, delivery, and validation of assessment.

3. Policy Statements

Auctus management is committed to implement this policy as below:

3.1 Assessment System Approach

To ensure that the assessment system is:

- **Aligned with Training Product Requirements:**

All assessment tools and practices are mapped to the elements, performance criteria, and assessment conditions of the relevant training product. This includes ensuring that assessments reflect the required skills and knowledge and are appropriate to the AQF level.

- **Contextualised and Fit-for-Purpose:**

Assessment tools are tailored to the student cohort, delivery mode, and industry context. Off-the-shelf tools are reviewed and adapted to ensure relevance and appropriateness.

- **Balanced and Comprehensive:**

Assessments include both theoretical and practical components, allowing students to demonstrate competence in a variety of settings and formats.

- **Reviewed Prior to Use:**

All assessment tools undergo a structured review process before implementation. This may include some of the following activities:

- consultation with industry,
- pre-validation using AI-based external software (i.e. Prickly 2 Sweet),
- moderation with other trainers/assessors,
- and piloting.

- **Continuously Improved:**

All reviews, validations, moderations and feedback from trainers, students, and industry lead to refinement of the assessment tools and training practices. Changes are documented and incorporated into future delivery.

Self-Assurance Activities:

- Review assessment tools with industry input and pilot with the first group of students.
- Obtain feedback from trainers and students after the first use to make improvements.
- Document changes made following tool reviews.
- Maintain records of contextualisation, reviews and tool validation.



3.2 Competency Based Assessments:

3.2.1 Definition of Competency

Assessment in this context can be defined as the fair, valid, reliable, and flexible gathering and recording of evidence to support the judgement on whether competency has been achieved. Skills and knowledge (developed in a structured learning situation, at work, or in some other context) are assessed against national standards of competence required by industry, rather than compared with the skills and knowledge of other students.

3.2.2 The features of a competency-based assessment system are:

- It is focused on what students can do and whether it meets the criteria specified by the industry as competency standards.
- Assessment should mirror the environment the student will encounter in the workplace.
- Assessment criteria should be clearly stated to the student at the beginning of the learning process.
- Assessment should be holistic. That is, it aims to assess as many elements and/or units of competency as is feasible at one time.
- In competency assessment, a student receives one of only two outcomes – ‘competent’ or ‘not yet competent.’
- The basis of assessment is in applying knowledge for some purpose. In a competency system, knowledge for the sake of knowledge is seen to be ineffectual unless it assists a person in performing a task to the level required in the workplace.
- The emphasis in assessment is on assessable outcomes that are clearly stated for the trainer and student. Assessable outcomes are tied to the relevant industry competency standards where these exist. Where such competencies do not exist, the outcomes are based upon those identified in a training needs analysis.

3.2.3 Assessing Nationally Recognised Training

Developing and conducting assessment, in an Australian Vocational Education and Training (VET) context, is founded on the Principles of Assessment (PoA) and the Rules of Evidence (RoE):

Principles of Assessment (PoA)

(i) Fairness

- Assessment accommodates the needs of the VET student, including implementing reasonable adjustments where appropriate and enabling reassessment where necessary.

(ii) Flexibility

- Assessment is appropriate to the context, training product and VET student, and assesses the VET student’s skills and knowledge that are relevant to the training product, regardless of how or where the VET student has acquired those skills or that knowledge.

(iii) Validity

- Assessment includes practical application components that enable the VET student to demonstrate the relevant skills and knowledge in a practical setting.

(iv) Reliability



- Assessment evidence is interpreted consistently by assessors and the outcomes of assessment are comparable irrespective of which assessor is conducting the assessment.

Source: Outcome Standards for RTOs 2025, Standard 1.4 (a)

Rules of Evidence (RoE)

When collecting evidence, certain rules apply to that evidence. All evidence must be valid, sufficient, authentic, and current:

(i) Validity

- Assessment evidence is adequate, such that the assessor can be reasonably assured that the VET student possesses the skills and knowledge described in the training product.

(ii) Sufficiency

- The quality, quantity and relevance of the assessment evidence enables the assessor to make an informed judgement of the VET student's competency in the skills and knowledge described in the training product.

(iii) Authenticity

- The assessor is assured that a VET student's assessment evidence is the original and genuine work of that VET student.

(iv) Currency

- The assessment evidence presented to the assessor documents and demonstrates the VET student's current skills and knowledge.

Source: Outcome Standards for RTOs 2025, Standard 1.4 (b)

Dimensions of Competency

The national concept of competency includes all aspects of work performance and not only narrow task skills. There are four dimensions of competency including:

- Task skills
- Task management skills
- Contingency management skills
- Job or role environment skills

3.2.4 Integrity-Focused:

Academic integrity is a high priority for organisation's management and trainers/assessors.

Currently, our trainers/assessors are adopting their own tools and measures to detect and prevent academic misconduct, including plagiarism and impersonation while the organisation is considering adopting a universal approach for this purpose that is aligned with the Australian education and training standards. Some examples of current practices in integrity focus include:

- In class assessments
- Identity verification



- Requirement for active participation in class
- Supervised group activities
- Scenario-based role plays
- Presentations to peers and trainers
- Oral assessments
- Competency conversations with trainers/assessors
- Requirement from students to satisfy 'Rules of Evidence' in their assessments
- Training on the ethical use of AI and other related tools

Self-Assurance Activities:

- Provide clear assessment instructions to students and assessors.
- Maintain an appeals process and reassessment opportunities.
- Monitor assessment consistency across assessors and delivery modes.
- Verify student identity and authenticity of submitted work.

3.3 Assessment Process

3.3.1 Assessment Design and Development

Assessments are generally designed to be implemented using an online learning management system (Auctus Training, also known as the Cloud Assess).

Each unit of competency has specific knowledge and performance requirements. These requirements can be viewed by visiting the www.training.gov.au and searching by unit code.

The performance criteria and evidence specify the standards of performance required in the workplace. That means the assessments consist of knowledge and performance criteria that is required to satisfactorily perform a job in the real world. For this reason, assessments at Auctus are only developed and designed by expert industry trainers and assessors in consultation with our industry partners.

For each unit of competency, assessments are usually divided into Knowledge Assessments (KA) and Practical Assessments (PA) to cover the Knowledge and Performance evidence respectively. Simulations are frequently used to provide students with opportunities to practice job role requirements.

All assessments being used at Auctus have been developed and validated in accordance with the relevant Standards for RTOs.

Clustering Note:

As multiple units of competency share aspects of the knowledge and performance evidence. To remove the repetition in assessments, Auctus adopts clustering mechanism in the design of assessments. Records of the clustered assessments can be found in the mapping documents of the relevant units. Therefore, competency in certain units can only be achieved once all of the clustered units/modules have been satisfactorily completed.

Please discuss with your trainer/assessor if you have any questions regarding mapping or clustering of any unit/s of competency or if you only want to achieve competency in a single unit.

3.3.2 Implementation



Assessments are implemented in accordance with the Training Schedule for each course as explained in each training and assessment strategy. Prior to enrolment, students are informed of expectations in relation to study commitment, training attendance and progress monitoring, assessment conditions and resources required.

The Training Schedule is to be agreed by the student as part of the enrolment process. The schedule outlines the proposed release & due dates for assessments for each unit.

- Students are issued Login details at the time of orientation on day one of their training program.
- All students are given free access to the platform which starts from orientation day and ceases on the expected completion dates. Students who are unable to graduate by the expected completion dates can request an extension in access to the system at a fee. Please refer to the fees schedule available on Auctus website.
- Paper-based versions of each assessment can be made available to the students on request at an additional printing cost. Please refer to the fees schedule available on Auctus website.
- At the start of each assessment activity or session, the Trainer/Assessor must inform the students on how to approach assessment tasks and what standards are expected of them. Students are encouraged to ask questions to clarify their needs and understanding of the assessment prior to commencing. The instruction within each assessment guides the student on the means to complete and submit.

Resources Required for Training and Assessment:

Auctus trainer/assessor will require access to:

- Relevant policies and procedures and templates
- Smart phone, laptop, projector, whiteboard and markers, butcher papers
- Internet connection and access to Auctus email and trainer calendar, Auctus Admin (SMS) and Auctus Training (LMS)
- Installed software: Microsoft Office suite (Excel, Word, PowerPoint), Adobe Acrobat Reader

The student will need access to:

- A smart phone, a computer/laptop with Internet, email access, and a working web browser,
- Installed software: Microsoft Office suite (Excel, Word, PowerPoint), Adobe Acrobat Reader.

3.3.3 Assessment Methods

At Auctus, all assessment activities are conducted in the following ways:

1. Knowledge Assessments (KA) can consist of any of the following:

- Written questions
- Fill in the blanks
- Matching terms with their descriptions
- Verbal questions and interviews (oral assessments)
- Essays or critical analysis
- Classroom presentations



- Video essays
- Quizzes

2. Practical Assessments (PA) can consist of any of the following:

- Projects (individual or group based)
- Simulated (individual or group based)
- Workplace-based (individual or group based)
- Workplace Supervisor Reports
- Recorded oral assessments
- Classroom presentations
- Verbal questions and interviews (oral assessments)

3. Recognition of Prior Learning (RPL)

Prior to enrolments, the students are made aware of the option to apply for Recognition of Prior Learning (RPL) where they believe that they already have knowledge and skills that meet the unit of competency requirements.

Students are invited to complete an interview with a trainer/assessor or complete an online questionnaire to find out if they can produce evidence required to meet the requirements for each unit.

If the Trainer/Assessor believes that the student may produce sufficient evidence to support their RPL application, they are issued an RPL Application Form to capture the evidence. Please refer to the Credit Transfer and RPL Policy and Processes for details.

Once a student completes the RPL Application Form and provides the supporting evidence, an assessor will be allocated for assessment. The RPL Outcome are recorded on the RPL Application Form against each unit of competency. The recorded outcomes maybe either RPL Granted or Not Granted. Where the RPL outcome is Not Granted, students are provided with feedback. A gap training can be offered to the student at a cost. So prior to conducting any gap training, students will need to be enrolled in each unit of competency. Please refer to our Enrolment Policy and Processes.

What appropriate RPL looks like?

RPL assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.

- formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree)
- non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and



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

Source: Australian Skills Quality Authority: Recognition of Prior Learning (viewed 21/07/2025)

The student must provide valid, authentic, current and sufficient evidence to support their competency. Trainer/Assessors must be confident that student is able to meet the specific knowledge/performance evidence according to the unit of competency before commencing the RPL process. The responsibility is on the students to satisfy their trainer/assessor that they meet all requirements of the training package or a unit of competency.

Gap Training: As a result of the RPL assessment, if the trainer/assessor feels that there are gaps in the knowledge or skills of the students, they'll discuss these gaps with the students, and a gap training plan may be offered to the student which may have assessment components. If gap training comprises of multiple units, the student may be advised to join a current ongoing training program or the student may be offered one on one training depending on what is more practical and feasible for the trainer and RTO.

3.3.4 Reporting of Assessment Outcomes on Auctus Training (LMS)

Each unit of competency consists of several assessment tasks. Students are given 2 opportunities to make attempt at answering questions or responding to the assessment task, namely 1st attempt, and 2nd attempt. Once the first (1st) attempt at answering tasks is completed and submitted by the student, there is one of two outcomes for each assessment tasks i.e. S = Satisfactory or NYS = Not Yet Satisfactory. The NYS outcome usually requires a student to reconsider their answer, provide more details and resubmit (2nd attempt).

To achieve competency in each unit, you must be assessed satisfactory for each of the tasks. If you are deemed "Not Yet Satisfactory", your assessor will provide you with specific feedback on your completed assessment and any areas which may need further work, and you will be given another chance to resubmit your assessment work within 1 week.

Once you have completed all the tasks for a unit satisfactorily, you will be awarded "Competent" (C) for the unit of competency. Otherwise, you will be assessed as "Not yet Satisfactory" (NYS) for the relevant unit of competency. After two attempts, if you are still deemed as "Not Yet Satisfactory", the unit of competency will be resulted as Not Yet Competent (NYC). At this stage, your trainer/assessor will be able to assist you by creating a simple coaching plan so that areas of further improvement can be addressed. However, it is still your responsibility to attend coaching sessions and complete your work to the required standard to achieve competency.

Automations have been engineered within the Auctus Training (LMS) to communicate assessment progress to the student (via email) at the following intervals:

- Satisfactory result (S)
- Not Yet Satisfactory result (NYS)
- 2nd Attempt Not Yet Satisfactory result (including instructions on 3rd attempt protocols)
- Assessment Due Date Approaching (3 days)



- Assessment Due Date Expired
- New Attempt (created)
- Competent (*final outcome*)
- Not Yet Competent (*final outcome*)
- RPL Granted (*final outcome*)
- RPL Not Granted (*final outcome*)
- Academic Pass (*final outcome*)
- Credit Transfer (*final outcome*)
- Withdrawn (*final outcome*)

All 'final outcomes' are exported automatically to the student's profile on the Student Management System (SMS).

3.3.5 Technical support and maintenance

The Auctus Training (LMS) has a built-in technical support service that allows all users (staff and students) to access Help articles and troubleshoot issues. Additionally, students are encouraged to reach out to their Trainer/Assessor via the built-in messaging service for further technical guidance.

The Training Coordinator at Auctus is the responsible person for the ongoing maintenance, development and refinement of the LMS. All significant technical concerns should be raised immediately via email.

3.4 General Assessment Instructions

Overview

Following the delivery of training, students are expected to complete their assessments and submit by due dates (refer to Training Schedule for due dates for each unit).

Prior to commencing the assessments, trainers/assessors will explain each assessment task and the terms and conditions. Please consult with your trainer/assessor if you are unsure of any questions. It is important that you understand and adhere to the terms and conditions and fully address each assessment task. If any assessment task is not fully addressed, then your assessment task will be returned to you for resubmission. Your trainer/assessor will remain available to support you throughout the assessment process.

The **Knowledge Assessments (KA)** help determine whether a learner has acquired the required theoretical understanding of a unit of competency. This complements practical assessments and ensures learners meet the standards outlined in Training Packages or accredited courses.

You must answer all assessment questions/tasks using your own words. However, you may refer to your Learner Guide, do your own research or other relevant materials to complete assessments.

Some questions cover processes you would likely encounter in a workplace. Ideally, you should be able to answer these questions based on the processes that are currently in place in your workplace. However, if you do not currently have access to a workplace, then answer the questions based on simulations conducted in class.



It is important to note that oral assessments are also considered as standard method of evidence gathering and trainers can make their decisions when and how to implement oral assessments.

The **Practical Assessments** evaluate students' practical skills with respect to the requirements of the relevant unit of competency including the foundation skills.

The Practical Assessment requires students to complete and submit evidence that they meet workplace skills requirements related documents and other documentation relevant to the unit of competency.

The evidence submitted must be student's own work except where due reference is made and where there is a requirement to submit supplementary workplace (or simulation) documents such as policies and procedures or templates.

When completing the assessments:

- Read the instructions provided in each task carefully before attempting to complete the task.
The instructions will guide you on how to answer the question or complete the task satisfactorily.
- Follow the steps provided in each task.
 - If the question instructs you to describe, provide a description as your response. If the question instructs you to list, provide a list as your response.
 - Where there is a number of required responses, provide the required number of responses.
For example, if you are asked to list three responses, provide three responses.
- Ensure that all your submissions for this assessment indicate your first and last name and that these submissions have been named according to the file naming convention prescribed in each task.
- Demonstrate that you have researched the topic thoroughly
- Cover the topic in a logical, structured manner
- Ensure that your assessment tasks are well presented, well referenced and word processed

Requirement for Active participation

It is a condition of enrolment that you actively participate in your training and assessment activities. Active participation involves (but not limited to) all the following:

- Complete all the assessment tasks on time
- Take part in simulations and practicals as scheduled and required by your trainer/assessor
- Contribute positively to class/group discussions and activities
- Seek support from your trainer as needed

Plagiarism

Plagiarism is taking and using someone else's thoughts, writings or inventions and representing them as your own. Plagiarism is a serious act and may result in a student's exclusion from a course. When you have any doubts about including the work of other authors in your assessment, please consult your trainer/assessor. The following list outlines some of the activities for which a student can be accused of plagiarism:

- Presenting any work by another individual as one's own unintentionally
- Handing in assessments markedly similar to or copied from another student
- Presenting the work of another individual or group as their own work
- Handing in assessments without the adequate acknowledgement of sources used, including assessments taken totally or in part from the internet.



If it is identified that you have plagiarised within your assessment, then a meeting will be organised to discuss this with you, and further action may be taken accordingly.

Important Note regarding the use of AI: The use of AI tools (ChatGPT, DeepSeek, Copilot, Gemini etc.) generated contents is also considered plagiarism when used as it is, unless you have contextualised the contents to your own situation and describe the response in your own words may be acceptable. The judgement decision by the trainer/assessor will be considered as final outcome. If the student is not satisfied with the outcome, they may lodge an appeal for review using Auctus' Assessment Appeal Process.

Collusion

Collusion is the presentation by a student of an assignment as their own that is, in fact, the result in whole or in part of unauthorised collaboration with another person or persons. Collusion involves the cooperation of two or more persons in plagiarism or other forms of academic misconduct and, as such, both parties are subject to disciplinary action. Collusion or copying from other students is not permitted and will result in a "O" grade and NYC.

Competency outcome

There are two outcomes of an assessment: **S** = Satisfactory and **NYS** = Not Yet Satisfactory. The NYS outcome requires a student to reconsider their answer and provide more details. If you are deemed NYS for any question or task, you will have another opportunity for a second (2nd) attempt. Once the student has resubmitted an assessment (2nd attempt), if all the assessment tasks are considered 'S', the student will be awarded "Competency" (C) in the unit. If the resubmitted tasks are still NYS, the student will be resulted as "Not Yet Competent" (NYC).

If you are deemed "Not Yet Competent" you will be provided with feedback from your trainer/assessor and offered to undergo further training and one more opportunity to be assessed (3rd attempt). It is your responsibility to attend the further training and complete your work to the required standard to achieve competency. You may be charged an additional fee per unit/module for the 3rd assessment if you are a fee for service student.

Additional evidence requirement

If we, at our sole discretion, determine that we require additional or alternative information/evidence in order to determine competency, you must provide us with such information/evidence, subject to privacy and confidentiality issues. We retain this right at any time, including after submission of your assessments.

Confidentiality

We will treat anything, including information about your job, workplace, employer, with strict confidence, in accordance with the law. However, you are responsible for ensuring that you do not provide us with anything regarding any third party including your employer, colleagues and others, that they do not consent to the disclosure of. While we may ask you to provide information or details about aspects of your employer and workplace, you are responsible for obtaining necessary consents and ensuring that privacy rights and confidentiality obligations are not breached by you in supplying us with such information.

Reasonable Adjustment

'Reasonable adjustment' in VET is the term applied to modifying the learning environment or making changes to the training delivered to assist a student with a disability. A reasonable adjustment can be



as simple as changing classrooms to be closer to amenities or installing a particular type of software on a computer for a person with vision impairment.

It is your sole responsibility to discuss any learning difficulties with your trainer before you begin the assessment.

Why make a reasonable adjustment?

We make reasonable adjustments to make sure that students with a disability have:

- The same learning opportunities as students without a disability, and
- The same opportunity to perform and complete assessments as those without a disability.

Reasonable adjustment applied to participation in teaching, learning, and assessment activities can include:

- Customising resources and assessment activities within the training package or accredited course
- Modifying the presentation medium
- Student support
- Use of assistive/adaptive technologies
- Making information accessible both before enrolment and during the course
- Monitoring the adjustments to ensure student needs continue to be met

The use of Assistive/Adaptive Technologies:

Assistive/Adaptive technology means ‘software or hardware that has been specifically designed to assist people with disabilities in carrying out daily activities’ (World Wide Web Consortium – W3C). It includes screen readers, magnifiers, voice recognition software, alternative keyboards, devices for grasping, visual alert systems, digital note-takers.

(Adapted Reasonable Adjustment in teaching, learning and assessment for students with a disability – November 2010 – Prepared by – Queensland VET Development Centre)

Important Note: Reasonable adjustment made for collecting student assessment evidence must not impact on the standard expected by the workplace, as expressed by the relevant unit(s) of competency. For example, if the assessment were gathering evidence of the student’s competency in writing, allowing the student to complete the assessment verbally would not be a valid assessment method. The method of assessment used by any reasonable adjustment must still meet the competency requirements.

Extensions/rescheduling to assessment due dates are at the discretion of the Trainer/Assessor. The student is required to approach their Trainer/Assessor verbally or via email and discuss their needs for adjustment to their assessment due dates before the expiration of the due date. It is the student’s responsibility to propose and negotiate an appropriate due date adjustment. Adjusted assessment due date should not influence the delivery of subsequent assessments.

Submitted Assessments:

- Students are advised that Auctus does not provide photocopies or scans of assessments.
- Students can make their own copies for their records by their own means before submitting an assessment. Auctus does not provide photocopy service.
- Once an assessment has been submitted, it will not be returned to the student.



If a 3rd attempt is required, Trainers/Assessors or Student Support Team can grant access to the student for a limited period of time.
Any specific assessment instructions are provided at the time of assessment release. If students are unsure of any task, they should reach out to their trainer/assessor.

Recording and reporting of assessment outcomes

All assessment evidence and results are recorded in Auctus Training (LMS). The outcomes of each assessment are communicated to the student through LMS. Additionally, final outcomes (e.g. Competent, RPL Granted etc.) are automatically exported to Auctus Admin (SMS) for filing and record keeping purposes.

3.5 Appeals and Grievances Against Assessment Decisions

Procedure

A grievance is the lodging of a complaint disputing the course content or the process used in the delivery of a training program.

An appeal is the lodging of a complaint disputing a result or outcome of a training program or assessment including RPL and Credit Transfer (CT). All appeals/grievances are dealt in the following way:

Stage 1 – Informal grievance/appeal

In the first instance, the student should discuss the problem with their Trainer/Assessor directly and seek a solution at that stage.

Stage 2 – Formal grievance/appeal

If an informal request has not resulted in a satisfied outcome, you can lodge a formal complaint to the Academic Lead for your course. Please submit your grievance/appeal via Auctus' website. Browse the **More +** tab and click on '[Feedback & Complaints Form](#)'. Complete the form with accurate information as required and click [Submit](#).

The complainant/appellant is invited to include suggestions about how the grievance might be resolved. The Academic Lead will then assess the grievance/complaint/appeal, determine the outcome and advise the complainant in writing of their decision and the reasons within 10 working days.

The complainant/appellant will be advised of their right to access Stage 3 of this procedure if they are not satisfied with the outcome of Stage 2.

Stage 3 – Internal review

If the complainant is not satisfied with the outcome of Stage 2, they may lodge an appeal in writing with the Operations Manager at Auctus, Suite 9, The Wellington Centre, 2 Portrush Rd, Payneham, 5070, SA or by email to admin@auctus.com.au.

The Complainant's grievance/appeal will be determined by the Operations Manager who will conduct all necessary consultation with the complainant and other relevant persons and decide of the appeal/grievance in a fair and unbiased way. The complainant will be advised in writing of the outcome of their appeal, including the reasons for the decisions within 10 working days.

The complainant will be advised of their right to progress to Stage 4 of the grievance procedure if they consider the matter unresolved. Where Auctus requires more than 10 days to process and



respond to the complaint/appeal, Auctus will inform the complainant/appellant in writing and advise the reasons why the response will take longer than 10 days.

Stage 4 – External review

If the complainant is not satisfied with the outcome of their appeal, an independent and suitably qualified mediation institution approved by both parties can be approached. The cost of external mediation will be shared equally by Auctus and the Complainant. At each stage of the grievance process, both the student and Auctus should seek to have a witness present/to be assisted by a third party at any relevant meeting.

Auctus has nominated the following independent training organisation as the external mediator:

Training Manager,
Alliance College
Address: Level 2/97 Pirie Street, Adelaide, South Australia 5000.
Email: eva@alliancecollege.edu.au
Tel: 1300 665 065
[RTO code 0137, CRICOS code 01774A]

In addition, South Australian Skills Commission also provide independent support and dispute resolution services to all training students in South Australia. A dispute can be lodged by submitting an online form which can be accessed [here](#).

Auctus recognises that students may have problems that do not directly concern the company but may impinge on their ability to achieve expected results. In this instance, RTO will offer advice in referring the student to the appropriate external support groups for assistance. This policy will be made available to students, those seeking to enrol at the RTO and RTO employees through publication on the RTO website; www.auctus.com.au , in the student handbook and in the employee induction handbook.

In house handling of complaints related to assessment

All staff at Auctus are expected to conduct themselves in a fair, unbiased and impartial manner when handling complaints. Trainer/Assessors/Admin staff are advised to communicate with students in writing (via their Auctus email) when handling complaints and appeals.

Appropriate escalation can be completed by forwarding written correspondence to their Academic Lead (Stage 2) who will consider the complaints and appeals. The Academic Leads can escalate complaints further by forwarding all accumulated written correspondence to the Operations Manager at Auctus.

3.6 Validations

As part of the risk-based approach to validation, we have a validation plan and validation schedule as shown in the organisation's Quality Management System (QMS) calendar. Validation activities are carried out as part of the QMS, in accordance with the validation plan and the policies and processes for assessment validation.

Validation of the assessment tools specified in the relevant validation schedules outlined in the QMS and Training and Assessment Strategies (TAS). The validation schedules ensure that each training



product is reviewed at least once in a five-year period. At least 50 per cent of the training products are validated in the first three years of the schedule. The organisation might choose to validate its training products more often, for example, if risk indicators demonstrate that more frequent validation is required. **Indicators of risk** may be reflected in the following activities:

- Prior to the use of a new assessment tool (by using Prickly2Sweet software, industry consultation, review by expert industry trainer)
- Validations and moderations after the use of new assessment tools
- Delivery of training products where safety is a concern
- The level and experience of the assessor, or
- Changes in technology, workplace processes, legislation, and licensing requirements.

As part of the quality assurance process, all assessment tools are reviewed (see note below) prior to use to ensure assessment can be conducted in a way that is consistent with the requirements of the training product and principles of assessment and rules of evidence set out.

The outcomes of any such reviews inform necessary changes to assessment tools.

Post assessment validation activities are scheduled in accordance with the validation plan.

Post validation outcomes are to be reported through the scheduled RTO academic quality management meetings with any amendments to be recorded in the meeting minutes, Continuous Improvement Register and actioned as required.

Notes:

- The assessment tools are piloted with real learners to reveal issues before full implementation.
- The assessment tools are also pre-validated to ensure alignment with requirements of the rules and principles of assessment.
- As part of the process, industry is consulted for relevance with workplace standards and the student cohort.

Self-Assurance Activities:

- Maintain a validation schedule and risk-based sampling plan.
- Document validation outcomes and actions taken.
- Ensure validators meet credential and independence requirements.
- Use validation findings to improve assessment consistency and quality.

4. Responsibilities

Trainers and Assessors:

- Conduct assessments in line with this policy and maintain evidence integrity. The Trainer/Assessor will ensure that the resources, timing and duration for the assessment has been communicated to the student prior to assessment. The student can voice concerns and/or questions regarding the facilitation of the assessment prior to the start.



- The Trainer/Assessor may negotiate to customise assessment tasks to meet the students' needs in relation to workplace setting, interests, learning style, literacy or cultural background. The original integrity of the assessment must be maintained. This should be reflected in the critical areas of assessment, required skills and knowledge and mapping against the performance criteria.
- There may be some other approaches that the Trainer/Assessor may believe can be used from time to time. This would need to be justified, recorded and reflected in the requirements of the unit of competency. The elements, performance criteria, foundation skills and assessment requirements for each unit of competency are listed on training.gov.au.

Academic Leads:

- Organise and conduct reviews, validation and moderation activities per schedule, monitor assessment consistency by conducting quality checks for each assessor.
- Ensure feedback from reviews, validations and moderations is entered onto Continuous Improvement Register, followed by assessment improvements and version updates.
- Plan and deliver professional development (PD) activities for current and new trainers/assessors to ensure their training and assessment practices are aligned with organisational policies and procedures, customer service standards as well as Standards for RTO 2025.

Operations Manager:

- Ensure all trainers/assessors meet Credential Policy requirements and support continuous improvement.
- Ensure assessment system policy and processes are implemented effectively.

Students:

It is the student's responsibility to approach their Trainer/Assessor if they have any concerns regarding any assessment in their course. These concerns can include (but are not limited to):

- Attendance
- Due Dates
- Resources
- Access
- Consent

When students submit their assessment, it is assumed that they have read, understood, and agreed to abide by the student declaration. Therefore, the student must read the student declaration carefully and ask their Trainer/Assessor for any clarification before submitting their work. Additionally, the student will complete the authenticity declaration located on the competency record for each assessment.

The student is required to submit their assessments by the specified due date as well as attend practical assessments on time as scheduled. The obligations for appropriate academic conduct and Work, Health and Safety (WHS) are to be always upheld by the student during assessment. It is a condition of enrolment that students actively participate in their training and assessment activities. Active participation involves (but not limited to) all of the following:



- Complete all the assessment tasks on time
- Take part in simulations and practicals as scheduled and required by the trainer/assessor
- Contribute positively to class/group discussions and activities
- Seek support from trainer/assessors as needed.

5. Documentation and Record Retention

Auctus will maintain all completed assessment records for each student in compliance with commonwealth and state/territory requirements. We maintain all assessment evidence for two years after course completion to support transparency and your right to appeal. Assessment evidence includes **anything a student submits** to demonstrate their competency, such as:

- Completed assignments and workbooks
- Observation checklists
- RPL documents and third-party reports
- Audio, video, or digital files submitted
- Assessors annotated marking guides or tools

The records will be kept for a period of **two (2) years**. In practice,

- For a full qualification, it starts from the final unit's successful completion date.
- For a stand-alone unit, it starts from that unit's completion date.

Additionally, the organisation will retain records of qualifications and statements of attainment issued for 30 years.

The organisation does not provide printouts/exports/photocopies of any submitted assessments.

6. Privacy, Confidentiality and Data Protection

All assessment records (including evidence) are archived for each student in their file. Students can view their own data on Auctus Training (the LMS) and Auctus Admin (the SMS) at any time by logging in using their usernames and passwords. Students' private information is held securely under the obligations of the Privacy Act 1988.

While we may ask you to provide assessment evidence containing information or details about aspects of your employment and work experience, you are responsible for obtaining necessary consents from the relevant persons and ensuring that privacy rights and confidentiality obligations are not breached by you in supplying us with such information.

7. Data Security and Protection

Auctus uses Cloud Assess as the provider of the Auctus Training (LMS digital platform). Their cloud data is stored in Australia in compliance with the Australian Government privacy and data security requirements. As such it is an ISO 27001 certified system.

The Cloud Assess privacy policy can be accessed here: <https://cloudassess.com/privacy-policy/>

This policy explains the purpose, collection and use of data, disclosure, security, complaints, problems and questions.

The Cloud Assess terms and conditions of use can be reviewed here: <https://cloudassess.com/terms-and-conditions/>



8. Monitoring and Review

- This policy is reviewed annually or upon changes to training products or regulatory requirements.
- Validation and feedback data are used for continuous improvement and self-assurance mechanism.
- Self-assurance questions from the ASQA Practice Guides are used to guide internal audits.

9. Associated Documents

- Training Management System Policy and Processes
- Training and Assessment Strategies
- Auctus Student Handbook
- Reasonable Adjustment Policy and Processes
- RPL and Credit Transfer Policy and Processes
- Work Placement Policy and Processes
- Trainer and Assessor Competencies Policy



3.7 Work Placement Policy and Processes

1. Policy Scope

This policy applies to all Auctus students, employees and third parties involved in marketing, enrolment, training/assessment, and placement coordination.

2. Policy Purpose

To ensure all placement activities and the relevant outcomes are carried out in accordance with the Performance Evidence and Assessment Conditions of relevant units of competency in the training packages(s) and in line with the Standards for RTOs 2025.

3. Overview

At various stages throughout a student's journey, the students are advised of any work placement requirements specific to each unit of competency. These requirements are to be met by students to attain the qualification. The organisation facilitates students in understanding and meeting these requirements throughout the student journey including:

1. Prior to enrolment (i.e. Provision of Course Information)
2. At the time of enrolment
3. After course commencement
4. Pathways to complete a work placement
5. Placement Status Report (by trainers/assessors)
6. Placement Agreement
7. After the commencement of a work placement
8. At the end of a work placement

4. Management of Work Placements

4.1 Prior to Enrolment

Responsibility: Marketing Manager and Recruitment Team, Education Agents

All promotional materials and advertisements disclose any placement requirements attached with a qualification. This includes information related to:

- Total hours required to complete a work placement
- Foundation skills requirements
- Sector specific checks/clearances, vaccination requirements
- Auctus' position on finding placement i.e. the organisation does not guarantee a placement or employment outcome

These requirements are clearly stated in the course entry requirements and placement information section on the organisation's website.

4.2 At the Time of Enrolment

Responsibility: Enrolment Team

At the start of the enrolment process, the enrolment team conducts a suitability interview to ensure

- Students understand qualification requirements including work placement.



- Students are informed of sector requirements including National Police Clearance, NDIS workers' check, working with children's check etc. as well as other mandatory requirements specific to the industry.
- Students are also informed of the requirements regarding fitness for work.
- Students sign a written agreement that they have understood the requirements.

4.3 After Course Commencement – Placement Information Session

Responsibility: Placement Coordinator

Once a course has commenced, the Placement Coordinator holds a Placement Information Session for each class or group as slotted in the Training Schedule. This session provides students with all the information needed for placement readiness including:

Clearances / Checks:

- National Police Check
- Working With Children Check (WWCC)
- NDIS Workers Check
- Aged Care Sector Employment Check (only for placements in the aged care sector)

Certificates

- First aid (HLTAID011) certificate
- NDIS Workers Orientation Module 'Quality, Safety and You'
- Hand Hygiene for clinical health workers – Australian Commission on Safety and Quality in Health Care
- Manual Handling certificate

Other requirements

- Australian Driver's License
- A reliable car with registration (the car must have a good service history)
- Comprehensive car insurance
- Flu, COVID and Hepatitis vaccination certificates (on employer's discretion)
- Read - How to be a successful Support Worker and meet employer expectations (Dos and Don'ts)
- Complete - Template for Auctus student profile (for employers)

The Placement Pathway Form will be released to students by their trainer to complete at this stage. If students need, trainers are required to guide students regarding how to complete the Form and attach their documents.

Placement Pathway Form

The Placement Pathway Form is to be completed by the student (including uploading their documents) and then submitted to the trainer. The trainer will assess the completeness of the Placement Pathway Form and attached documents.

If the Form is incomplete or incorrect, trainers are expected to assist students in completing the Form. Once completed, trainers should notify the Placement Coordinator via email that student form is complete so that they can arrange a work placement.



4.4 Pathways to meet Work Placement Requirement

Responsibility: Trainers/Assessors and the Placement Coordinator

Work Placement requirements can be met in two ways, using relevant work experience or by completing work placements.

The Placement Team and Trainers will assess each student's situation and divide them based on:

- currently working in the sector in the relevant job role
or
- those not working in the relevant job role.

The Placement Coordinator gives a presentation to the whole class on 'How to complete Work Placement Record'.

Pathways:

i. **Work Experience Pathway: For Students who are currently working in the relevant job role:**

These students are advised that they should discuss with their supervisor if the student can use the same workplace to complete the required placement hours for their qualification. It is important to inform your supervisor that if they are willing to support your placement, they will be required to sign students' Work Placement Record.

Alternatively, an employment letter stating that student is successfully meeting the job role obligations as a support worker. In this case, copies of the following documents will be required:

- Employment contract and/or Position Description
- Most recent payslips (equal to required placement hours)
- A workplace supervisor report (or Employment Letter) confirming a satisfactory student performance in the role.

Notes:

- This report or letter must be verified by the Assessor or the Placement Coordinator for authenticity.
- Job duties/tasks/responsibilities (as in the Employment Contract or Position Description) must match Performance Criteria and the Application of the unit/qualification.

ii. **Work Placement Pathway: For students who are not working in the relevant job role:**

The students who are not working in the care sector as a support worker will be provided employer contact details to apply for a placement or referred to the employer by the Placement Coordinator.

4.5 Placement Status Reports

All trainers are required to complete a 'Placement Status Report' for the Placement Coordinator which includes:

- Suitable pathway to meet work placement requirements (based on if the student is working in the related job role or not).



- If the student has attained 'Competency' in all the units that have been delivered at that point.
- In trainer's view, the student is ready to work in the industry in terms of them
 - o Conduct
 - o Approach to client services
 - o Communication skills
 - o Prepared and submitted valid documents (as advised via Auctus Training) that are listed in the Checklist of Documents Required from Students Prior to Referring for A Work Placement (Community Sector).

4.6 Placement Agreement

Responsibility: Placement Coordinator

Once a student has been offered a placement opportunity with an employer, the Placement Coordinator must be notified by the student. The Placement Coordinator will initiate a 'Placement Agreement' (using Adobe Sign) between the three parties:

- The student
- The employer
- The RTO (Auctus)

The Placement Agreement must be filled and signed for each student. This agreement describes the obligations for all parties and placement best practice guidelines. The agreement also highlights a placement start date and expected finish date.

The students will be covered by Auctus' public liability and professional indemnity insurance.

4.7 After the Commencement of a Work Placement

Responsibility: Placement Coordinator and Trainers/Assessors

When a student's placement commences, the Placement Coordinator is required to:

- Record start and expected finish dates on the calendar (Auctus Admin or Placement Tracker)

Phone call follows up (by the Placement Coordinator or nominated Workplace Assessors):

- Set two (2) reminders to follow up with the student with a phone call on 2 occasions. These follow ups should be conducted at end of week 1 (1st follow up) and at the end of week 2 or 3 (2nd follow up). The purpose of these follow ups is to check on student's welfare and find out if they feel they have sufficient skills to cope with the tasks required during the placement.

After the follow up, if required the Placement Coordinator can:

- mediate between the student and workplace liaison if there are any skill gaps or other issues e.g. disciplinary matters, client service etiquettes or ethics
- ask the student to return to Auctus for further training or support (internal or external). The student must report back to the Placement Coordinator who will discuss any issues with student and create file notes on Auctus Admin. If a student requires further training or support, the Placement Coordinator will
 - o refer the student to an Auctus Trainer for further training or
 - o external student support services.



A record of the two (2) phone calls must be created in student's file notes.

Work Placement Assessor Visits:

- Work Placement Coordinator to find an available trainer/assessor to organise two assessor visits. The trainer will book an appointment with the student and their supervisor to observe the student in the workplace. The trainer is required to report back to the Placement Coordinator and create a file note providing the summary of their visit.
- Where a student is doing their placement in a homecare environment, it is quite likely that an assessor visit may not be possible due to client's preferences including (but not limited to) privacy, confidentiality, risk of infection or cultural or religious grounds. In these circumstances, a third party report completed by the team leader or supervisor is acceptable.
- It is important to note that the trainer/assessor advises the student that they must get consent from the workplace supervisor or clients (and/or their families/guardians) before confirming the time for assessor's visit.

Assessment during Work Placements (Student Responsibilities)

- An assessor will contact students and their workplace supervisor to arrange onsite visits to discuss student's work performance, conduct assessments and discuss future training requirements.
- Students should remind their workplace mentor that their trainer/assessor will visit the worksite, and that students should be free to meet with their trainer/assessor at the arranged time and date.
- The trainer/assessor must be advised as soon as possible if students are unable to make the arranged meeting and reschedule their assessor visit.
- If a student is ill or absent from work during placement hours, they must notify their supervisor/mentor (at the host employer), AUCTUS Placement Coordinator as well as their visiting trainer/assessor if an Assessor visit has been scheduled as soon as possible.
- On the day of the Assessor visit, student must carry their Work Placement Record (provided to students before the start of their placement) for Assessor to sign and make notes.

4.8 At the end of a Work Placement

Responsibility: Placement Coordinator and study completion team

At the end of a student placement, the student must immediately report to the Placement Coordinator and hand-over the completed Work Placement Record to the Placement Coordinator. The Placement Coordinator will check if all placement requirements have been met. If all requirements have been met, the Placement Coordinator will refer them to the study completion team.

The study completion team will make further checks to see if the student has met all requirements for their enrolled qualification. The student is sent a confirmation email whether or not they have met all the requirements and provide more details if the student has not yet met all the requirements. If the student has met all the requirements, they are issued a certificate within 30 days of the Study Completion Email.

5. Checklist Of Documents Required from Students Prior To Referring for a Work Placement (Community Sector)



Prior to any placement referral, students must complete and submit the following documents as advised by the trainers or Placement Coordinator:

- 1) Clearances DHS
 - NDIS Worker Check
 - Working with children check (WWCC)
 - Aged Care Sector Employment checks (Ageing only)
 - Vulnerable person related employment check (Ageing only)
 - General employment probity check
- 2) Australia Police Check
- 3) A recent Resume
- 4) Auctus Student Profile
- 5) Training Modules
 - Hand hygiene
 - NDIS orientation module
 - Manual Handling
 - First Aid & CPR (HLTAID011 - needs to be current to cover placement)
 - Read the 'How to be a successful support worker'.
 - Basics of Infection Prevention and Control Orientation Module
- 6) Vaccinations
- 7) Australian Driver's License
- 8) A reliable car with registration (the car must have a good service history)
- 9) Comprehensive car insurance

6. Associated Documents

- Placement Information on Auctus website
- Enrolment Policy and Processes
- Training Management System and Processes
- Assessment System Policy and Processes
- Trainer and Assessor Competencies Policy



3.8 Trainer and Assessor Competencies Policy

1. Credential Verification Policy

Objective:

Ensure all trainers and assessors hold appropriate credentials as per the Credential Policy and are verified before delivering training or assessment.

Policy Statements:

- All trainers and assessors must meet the requirements outlined in the National Credential Policy.
- Credentials are authenticated prior to engagement and reviewed annually.

System Components:

- **Credential Register:** Stores verified qualifications, TAE credentials, and updates.
- **Verification Checklist:** Used during onboarding and annually.
- **Scope Alignment Matrix:** Ensures credentials match units of competency delivered.

Self-Assurance Activities:

- Conduct quarterly audits of credential records.
 - Use mapping matrix (Trainer Matrix) to map out scope of trainers and identify gaps
 - Review credential alignment with training products annually.
-

2. Working Under (Supervision) Direction Policy

Objective:

Ensure individuals working under direction are properly supervised and do not make assessment judgements.

Policy Statements:

- Individuals working under direction must be supervised by a qualified trainer/assessor.
- Supervisory arrangements must reflect the individual's skills and experience.

System Components:

- **Supervision Plans:** Document roles, responsibilities, and oversight arrangements.
- **Activity Plan and Mentor Meetings:** Tracks activities and supervision notes.
- **Assessment Restriction Protocol:** Prevents the judgement of assessment outcomes.

Self-Assurance Activities:

- Review supervision plans quarterly.
 - Use the self-assurance question: "How do you know your system for monitoring those working under direction is effective?"
 - Conduct ongoing quality reviews of work produced under direction.
-

3. Professional Development Policy



Objective:

Support trainers and assessors in maintaining current skills in training and assessment.

Policy Statements:

- PD must be planned, tracked, and aligned with emerging VET practices.
- PD includes internal workshops, external courses, mentoring, and validation activities.

System Components:

- **PD Tracker:** Records activities, dates, and relevance.
- **Annual PD Plan:** Developed during performance reviews.
- **Mentoring Program:** Supports skill development through peer learning.

Self-Assurance Activities:

- Monitor PD completion rates quarterly.
 - Use the self-assurance question: “How do you monitor and regularly review the performance of trainers and assessors to identify opportunities for professional development?”
 - Evaluate PD impact during performance reviews.
-

4. Industry Currency Policy

Objective:

Ensure trainers and assessors maintain current industry skills and knowledge relevant to the training product.

Policy Statements:

- Trainers and assessors must demonstrate current industry engagement and knowledge.
- Currency is reviewed 6 monthly and trainers are provided feedback if they are meeting the currency requirements.

System Components:

- **Industry Engagement Log on Smartsheet:** Records activities like networking, volunteering, and subscriptions.
- **Currency Evidence Portfolio:** Includes qualifications, memberships, and work experience.
- **Unit Mapping Tool:** Trainer Matrix aligns industry skills with training product requirements.

Self-Assurance Activities:

- Use the self-assurance questions:
 - “How do you ensure trainers and assessors have current industry skills?”
 - “How do you identify and address gaps in industry competencies?”
 - Conduct annual reviews of currency evidence.
 - Engage industry representatives to validate relevance.
-



5. Industry Engagement Policy

Objective:

Maintain regular and meaningful engagement with industry and experts to inform trainer and assessor competencies as well as training packages design.

Policy Statements:

- Industry engagement informs PD and currency.
- Engagement activities are planned and reviewed annually.
- Industry experts are invited to deliver training on topics that are relevant to training packages.

System Components:

- **Industry Advisory Committee Meetings:** Meets quarterly to discuss current industry requirements, validate Auctus training materials and assessment tools and provide feedback.
- **Engagement Calendar:** Schedules events, consultations, and networking.
- **Employer expos:**
Auctus works closely with industry partners (employers) and invites them to meet our students. These events are hosted in the form of career expos on Auctus campus once or twice a year. These expos create opportunities for students to meet potential employers for placements or jobs. The dates for the expos are decided by the management.
- **Continuous Improvement:** Feedback from industry engagement is used to continuously improve our products and operations.

Self-Assurance Activities:

- Use the self-assurance question: “How do you identify the types of industry competencies relevant to each training product?”
- Conduct annual gap analysis.
- Document (meeting minutes) outcomes of industry consultations.
- Record improvements made as a result of industry engagement.

6. Associated Documents

- Training Management System Policy and Processes
- Assessment System Policy and Processes
- Auctus Student Handbook
- Auctus Employee Handbook
- Reasonable Adjustment Policy and Processes
- RPL and Credit Transfer Policy and Processes
- Work Placement Policy and Processes



3.9 Facilities, Resources and Equipment Policy & Processes

1. Purpose

To ensure that all facilities, resources, and equipment used in training and assessment are:

- Fit-for-purpose
- Safe and accessible
- Sufficient for student cohorts
- Aligned with the requirements of each training product

2. Scope

This policy applies to:

- All training products on Auctus Training Institute's scope of registration
- All delivery modes (face-to-face, online, blended)
- All third-party arrangements including work placements

3. Policy Statement

Auctus Training Institute is committed to providing high-quality facilities, resources, and equipment that support effective training and assessment activities and meet the requirements of Standard 1.8 of the Outcome Standards for RTOs 2025.

4. Performance Indicators

We will demonstrate compliance by:

- Identifying and documenting required facilities, resources, and equipment for each training product in its training and assessment strategy (TAS)
- Ensuring ownership, leasing and maintenance arrangements are in place
- Providing equitable access to students
- Maintaining safety and suitability through regular checks and updates
- Ensuring copyright and licensing compliance for all learning resources

5. Compliance Considerations

To maintain compliance, we will:

- Ensure facilities meet health, safety, and building code requirements
- Provide amenities suitable for all students, including those with disabilities
- Use contemporary equipment aligned with current industry practices
- Make reasonable adjustments for students with special needs
- Inform students of any indicative costs prior to enrolment
- Ensure simulated environments reflect real industry settings
- Provide guidance and safety instructions before equipment use

6. Risk Management

We will proactively manage risks by:

- Avoiding over-enrolment beyond facility capacity
- Ensuring quality and relevance of resources and equipment
- Evaluating the appropriateness of virtual delivery methods



- Confirming quality of work placements through employer engagement
- Addressing regional and remote access challenges
- Including third-party facilities in safety and quality checks
- Avoiding outdated equipment not used in current industry practice

7. Facilities, Resources and Maintenance

We will maintain all equipment and resources in the following means:

- Facilities (building) are leased, and the maintenance of these facilities are carried out by the lease agent 'Leedwell Asset Management'. All building needs and maintenance are requested to the agent by the CEO in a timely manner. The leasing agent carries out maintenance and other related needs.
- All other resources including digital equipment (computers, laptops, projectors and related equipment), whiteboards, furniture, consumables, and resources used in the training (e.g. equipment in the skills Lab.) are owned and managed by Auctus. These equipment and resources are routinely checked for safety, accessibility and sufficiency. Maintenance is carried out as required by internal and external personnel as required. Whereas consumables are routinely restocked.
- The IT and telecommunication services and support is provided by 1Solution IT based in Adelaide. They are also responsible for providing Microsoft services on all Auctus owned computers and laptops.
- The digital platform for Student Management System (SMS) is subscribed from Readytech who provides specialised SMS service through the VETtrak Cloud. This product is ISO 27001 certified and Australian government requirements for data sovereignty and privacy and security. The contract with Readytech is reviewed by Operations Manager annually.
 - The SMS is named Auctus Admin for administrative purposes. A training manual for students and staff has been developed and used for education and training purposes.
- The digital platform for Learning Management System (LMS) is supplied by Cloud Assess, an Australian based state of the art LMS provider. This product is ISO 27001 certified and Australian government requirements for data sovereignty and privacy and security. The contract with Readytech is reviewed by Operations Manager annually.
 - The LMS is named as Auctus Training for administrative purposes. A training manual for students and staff has been developed and used for education and training purposes.

8. Self-Assurance Activities

We will implement the following self-assurance practices:

- Regular audits of facilities, resources, and equipment
- Feedback collection from students, staff, employers, and industry
- Risk assessments for work placements and community-based learning
- Monitoring third-party compliance with safety and access standards



- Reviewing virtual delivery methods for privacy and effectiveness
- Documenting and responding to incidents and corrective actions

9. Responsibilities

- **CEO:** Oversight and provision of resources in a timely manner
- **Operations Manager:** Review of resources suitability, safety and access and policy implementation
- **Trainers/Assessors:** Reporting issues and ensuring safe use of equipment
- **Academic Leads:** Regular audits, restocking orders, maintenance requests and safety checks
- **Students:** Proper and safe use of resources, make requests for reasonable adjustments, report any safety or access issues.
- **Third Parties:** Compliance with agreed standards and reporting risks.

10. Review and Continuous Improvement

This policy will be reviewed annually or when significant changes occur. Feedback from stakeholders will inform updates to ensure ongoing compliance and quality improvement.

11. Associated Documents

- Training Management System Policy and Processes
- Training and Assessment Strategies
- Auctus Student Handbook



3.10 Student Support and Wellbeing Policy and Processes

1. Policy Commitments

The organisation is committed to identifying and supporting the wellbeing needs of all students throughout their training journey with Auctus. We recognise that student wellbeing is essential for successful learning outcomes and is a shared responsibility across the organisation.

2. Scope

The policy is relevant across all modes of delivery (face-to-face, online, blended) and is designed to ensure that student wellbeing is embedded in the organisation's culture, practices, and continuous improvement processes.

This policy applies to all Auctus employees, students/participants, contractors, mentors and third parties.

3. Key Practices:

Identification of Support and Wellbeing Needs

- As a first step, it is expected that our staff, trainers and mentors identify if the issues presented by students/participants are of academic or private nature or crisis situations, so that appropriate support can be implemented.

In assessing the wellbeing needs of student/participants, characteristics of the training product and student demographics are considered.

- Use enrolment data, student interviews, and feedback mechanisms to identify specific wellbeing requirements.
- Regularly review and update wellbeing needs assessments, especially when new training products or delivery modes are introduced.

Provision of Support Services

- Provide or refer students to a range of wellbeing support services, including:
 - Study skills support (e.g. time management, coping with assessment stress)
 - Financial counselling and hardship assistance
 - Mental health and counselling services
 - Culturally specific or demographic-specific supports (e.g. youth services, First Nations support)
 - Services for students experiencing abuse, harassment, or violence
- Ensure students are informed of these services through orientation, student handbooks, and ongoing communication.

Staff Training and Engagement

- Train trainers, assessors, and support staff to:
 - Recognise signs of wellbeing challenges
 - Apply appropriate referral processes
 - Maintain student confidentiality and privacy
- Provide staff with access to professional development in mental health first aid, trauma-informed practice, and culturally responsive support.

Wellbeing in Third-Party and Work-Based Environments



- Ensure third-party providers and work placement hosts uphold student wellbeing standards.
- Conduct risk assessments of third-party environments to identify and mitigate potential wellbeing risks.
- Establish clear reporting and response procedures for incidents of abuse, harassment, or violence.

Continuous Improvement

- Collect feedback from students on the effectiveness of wellbeing supports.
- Monitor participation and use data and research to benchmark and improve wellbeing strategies.
- Document and review wellbeing initiatives as part of the organisation's quality assurance cycle.

4. Responsibilities

- **Students:** Be mindful of their own wellbeing needs and ask for support if needed.
- **Trainers and Assessors:** Observe and monitor student study progress and wellbeing in a sensitive and confidential manner. Discuss any concerns directly with the student first and involve Student Support Officer with the student's verbal consent.
- **Student Support Officers:** Liaise with students, trainers/assessors/mentors and external Success and Wellbeing (SWS) service providers to ensure any barriers to student progress and wellbeing are identified and addressed appropriately while maintain highest level of student privacy and confidentiality. They are also responsible to keep records and follow ups until all concerns are addressed.
- **Training Coordinators:** Monitor the effectiveness of all student support activities wellbeing services effectiveness and suitability through data, feedback and stakeholder consultations as necessary. Report the support services usage and outcomes in the management meetings.
- **CEO and Operations Manager:** Ensure policy alignment with regulatory standards and effective implementation of this policy. This will be achieved by analysing reports in team meetings and monthly management meetings.

5. Self-Assurance Activities

To ensure compliance and continuous improvement, Auctus Training Institute will:

1. Maintain documented systems for identifying and responding to student wellbeing needs.
2. Monitor the implementation of wellbeing strategies across all delivery modes and third-party arrangements.
3. Regularly review staff training records and student feedback for effectiveness.
4. Evaluate the accessibility and effectiveness of support services.
5. Maintain procedures for preventing and responding to abuse, harassment, and violence.

6. Providing Student Support and Wellbeing Procedure:

As a first step, it is expected that our staff, trainers/assessors and mentors or third parties identify if the issues presented by students or participants are of academic nature, private or crisis situations, so that



appropriate support can be offered.

Academic Issues:

Academic issues are related to mainly student or participant learning, training and assessment activities. However, on occasions, it can also include our administrative procedures related to student journey. Auctus employees (administrative, trainers/assessors) should aim to resolve these issues in-house by adopting flexibility in their training and assessment services (flexible payment plans at enrolments, extra tutoring one-on-one, extensions to assessment due dates etc.), inclusive practices, reasonable adjustments and so on. If there is any staff unsure of how to support a student, they should reach out to their Academic Lead or Operations Manager. It is a trainer/assessor/mentor's job to ensure that student is supported and not left uncertain.

Record Keeping: All trainers/assessors/mentors are required to make Notes of the support provided on Student File (including date and time, as well as unit/questions/topics discussed).

Private Issues:

If a trainer/assessor/mentor or an employee feels that issues presented by students or participants are personal and it is out of their scope to offer any advice, they can refer the student to our student/participant support team. Student Support Team must contact the student/participant to inform them of the available support services and how to access them. Some examples of issues that can be helped by external referrals using Success and Wellbeing Service (SWS) coaches include:

- Help with study management
- Housing
- Justice
- Family and domestic violence
- Personal, cultural and family
- Health including mental health
- Disability and access
- Transport
- Financial stress

Auctus works closely with two external SWS providers. They provide services through their SWS coaches who can be reached out using the following contact details:

1) **SYC Success and Wellbeing Services**

Tel: 08 7140 1966

Email: sws@enhancetraining.org

2) **Hessel Group / Enhance Training**

Tel: 08 8405 8500

Email: narmfield@syc.net.au or kobrien@syc.net.au

Our student support team can refer a student for counselling by completing a form which includes a student information and consent for referral.

Students can also refer themselves directly to the Success and Wellbeing Services (SWS) provider by using the contact details provided above.



Record Keeping:

Student Support Team to make Notes of the support/referral provided on Student File. Set a reminder and do a follow up until the student/participant is satisfied with the support provided. Please make notes of the follow ups.

Crisis Situations:

Crisis situations may include someone feeling suicidal, self-harming, aggressive behaviours.

There are practical steps that you should take to handle the situations. Please read through the guidelines attached and follow the steps.

It is important to note that you can call 000 (Police or Ambulance or both for emergency situations) where you want to avert an imminent suicide, self-harm or physical violence.

Record Keeping: After the situation or incident, please make notes on student file and inform the Student Support Team who should set themselves a reminder and do a follow up check on student welfare, discuss any further support or referral needed and make notes summarising your discussion.

The Student Support Team can ask the reporting person to fill out an Incident Form if required.



3.11 Diversity and Inclusion Policy and Processes

1. Policy Commitments

Auctus Training Institute is committed to creating a learning environment that is inclusive, culturally safe, and supportive of all students. We recognise and celebrate the diversity of our student cohorts and aim to remove barriers to participation and success in vocational education and training (VET).

2. Scope

This policy applies to all aspects of Auctus Training Institute's operations, including:

- **All staff** (trainers, assessors, administrative personnel, and management)
- **All students** enrolled in nationally recognised training products
- **Third-party providers** delivering training and assessment on behalf of the RTO
- **Work-based learning environments**, including placements and traineeships
- **Marketing and enrolment activities**, including outreach and promotional materials
- **Support services** offered directly or through referral partnerships

The policy is relevant across all modes of delivery (face-to-face, online, blended) and is designed to ensure that diversity and inclusion are embedded in the RTO's culture, practices, and continuous improvement processes.

3. Key Practices

Inclusive Marketing and Enrolment

- Design marketing materials and enrolment processes to be inclusive and accessible to all potential students.
- Use language and imagery that reflects diverse communities and avoids stereotypes.
- Implement outreach strategies to attract underrepresented groups, such as:
 - Women in non-traditional trades
 - First Nations people
 - People with disability
 - Culturally and linguistically diverse (CALD) communities
 - Youth and mature-age learners

Inclusive Learning Environment

- Ensure training delivery, assessment methods, and learning resources are inclusive and adaptable to diverse learning needs.
- Provide reasonable adjustments to support students with disability or other learning barriers.
- Promote respectful communication and behaviour among students and staff.
- Offer flexibility for students to meet cultural or religious obligations.

Cultural Safety for First Nations Students

- Engage respectfully with local First Nations communities to understand their needs and perspectives.
- Include First Nations voices in decision-making, curriculum design, and delivery.
- Provide opportunities for First Nations staff and trainers to contribute to training and assessment.
- Champion cultural awareness and respect across the organisation.



Staff Development

- Provide ongoing professional development in:
 - Cultural awareness and competence
 - Managing unconscious bias and discrimination
 - Inclusive teaching strategies
- Encourage staff to reflect on their own cultural assumptions and practices.

Monitoring and Feedback

- Regularly assess the inclusiveness of the learning environment through student feedback and internal reviews.
- Use feedback to improve policies, procedures, and practices.
- Monitor participation and outcomes for diverse student groups to identify gaps and opportunities for improvement.

4. Responsibilities

- **Students:** Participate in respecting and promoting diversity and inclusion practices documented in this document. Report any concerns to their trainers/assessors or student support team.
- **Trainers and Assessors:** Observe and promote diversity and inclusion practices outlined in this document. Discuss any concerns with relevant parties and report to student support team.
- **Training Coordinator and the Student Support Officers:** Liaise with students, trainers/assessors/mentors and service providers (internal and external) to ensure any concerns raised by staff or students are addressed promptly while maintaining highest level of privacy and confidentiality. They are also responsible to keep records and follow ups until all concerns are addressed.
- **CEO and Operations Manager:** Ensure policy alignment with regulatory standards and effective implementation of this policy. This will be achieved by analysing reports in team meetings and monthly management meetings.

5. Self-Assurance Activities

To ensure compliance and continuous improvement, Auctus Training Institute will:

- 1) Maintain inclusive enrolment and marketing strategies.
- 2) Monitor the cultural safety and inclusiveness of the learning environment.
- 3) Engage with diverse communities to inform policy and practice.
- 4) Provide staff with training and resources to support inclusive education.
- 5) Implement procedures to prevent and respond to discrimination, harassment, and violence.
- 6) Track and report on participation and outcomes for underrepresented groups.



3.12 Student Feedback, Complaints and Appeals Policy and Processes

1. Policy Objectives

This policy ensures that Auctus Training Institute:

- Provides accessible, fair, and transparent mechanisms for students and stakeholders to give feedback, lodge complaints, and appeal decisions.
- Resolves issues in a timely and impartial manner, upholding procedural fairness.
- Uses feedback, complaints, and appeals as a source of continuous improvement across all areas of operation.
- Complies with the Outcome Standards for NVR Registered Training Organisations, specifically Standards 2.7 and 2.8.

2. Scope

This policy applies to:

- All current and prospective students.
- All staff, contractors, and third-party providers.
- All decisions made by Auctus or its representatives that may affect students.

3. Feedback and Complaints Management System

3.1 System Overview

The organisation maintains a structured complaints management system that:

- Accepts feedback and complaints about any aspect of the RTO's services, including those delivered by third parties.
- Ensures procedural fairness for all parties involved.
- Specifies clear timeframes for acknowledgement, investigation, resolution, and communication.
- Provides escalation pathways and external review options.

3.2 Key Components

- **Public Access:** Information on how to lodge feedback or complaints is provided on the website, student handbook, and during orientation.
- **Multiple Channels:** Complaints can be submitted in person, via email, phone, or online form via [Auctus website](#).
- **Complaint Register:** All complaints are logged, tracked, and securely stored.
- **Resolution Framework:** Includes investigation protocols, communication templates, and escalation procedures.



3.3 Responsibilities

- **Student Support Officers and Trainers/Assessors:** Assist students in lodging complaints and explain the process.
- **All Coordinators:** Investigate complaints, ensure procedural fairness, and communicate outcomes. They also consider information for Continuous improvements and maintain records.
- **Operations Manager and CEO:** Monitors trends, ensures documentation, and oversees external/third-party complaint handling.

3.4 Continuous Improvement

- Complaints are analysed for root causes and trends.
- Outcomes are used to inform policy updates, staff training, and service enhancements.

4. Appeals Management System

4.1 System Overview

The organisation maintains an appeals system that:

- Allows students to appeal decisions that adversely affect them, including assessment outcomes and administrative decisions.
- Ensures procedural fairness and impartiality.
- Specifies timeframes for lodging, reviewing, and resolving appeals.
- Provides access to independent review at no or low cost.

4.2 Key Components

- **Appeals Information:** Available in the student handbook, website, and orientation materials.
- **Appeals Form:** Standardised online form for submitting appeals, with guidance on supporting documentation.
- **Appeals Register:** Secure log of all appeals, actions taken, and outcomes.
- **Independent Review Access:** Information provided on external review options (e.g. mediation services, ombudsman).

4.3 Responsibilities

- **Trainers and Assessors:** Inform students of their right to appeal and assist with initial queries.
- **Training Coordinator:** Reviews appeals objectively and communicates outcomes. They also enter information for Continuous improvements and maintain records.



- **Operations Manager:** Ensures appeal decisions are valid and monitors continuous improvement.
- **Third-Party Coordinators:** Ensure appeals related to third-party decisions are referred to Auctus.

4.4 Continuous Improvement

- Appeal outcomes are reviewed for systemic issues.
- Trends are reported to leadership and used to improve assessment practices and decision-making.
- Staff training is updated based on appeal findings.

5. Complaints and Appeals Process

Our complaints and appeals are handled using the process below:

Stage 1 – Informal complaint/appeal

In the first instance, the student are encouraged to discuss the problem or issue with their Trainer/Assessor directly and seek a solution at that stage.

Alternatively, students can contact the Student Support Officer to discuss their concerns.

Stage 2 – Formal grievance/appeal

If an informal request has not resulted in a satisfied outcome, students can lodge a formal complaint to the Training Coordinator. Please submit your grievance/appeal via Auctus' website. Browse the **More +** tab and click on '[Feedback & Complaints Form](#)'. Complete the form with accurate information as required and click [Submit](#). The complainant/appellant is encouraged to include suggestions about how the grievance might be resolved.

The Training Coordinator will then assess the grievance/complaint/appeal, determine the outcome and advise the complainant in writing of their decision and the reasons within 10 working days.

The complainant/appellant will be advised of their right to access Stage 3 of this procedure if they are not satisfied with the outcome of Stage 2.

Stage 3 – Internal review

If the complainant is not satisfied with the outcome of Stage 2, they may lodge an appeal in writing with the Operations Manager at Auctus, Suite 9, The Wellington Centre, 2 Portrush Rd, Payneham, 5070, SA or by email to admin@auctus.com.au.



The Complainant's grievance/appeal will be assessed by the Operations Manager who will conduct all necessary consultation with the complainant and other relevant persons and decide of the appeal/grievance in a fair and unbiased way. The complainant will be advised in writing of the outcome of their appeal, including the reasons for the decisions within 10 working days.

The complainant will be advised of their right to progress to Stage 4 of the grievance procedure if they consider the matter unresolved. Where Auctus requires more than 10 days to process and respond to the complaint/appeal, Auctus will inform the complainant/appellant in writing and advise the reasons why the response will take longer than 10 days.

Stage 4 – External review

If the complainant is not satisfied with the outcome of their appeal at Stage 3, an external independent and suitably qualified mediation institution approved by both parties can be approached. The cost of external mediation will be shared equally by Auctus and the Complainant. Both the student and the RTO should seek to have a witness present/to be assisted by a third party at any relevant meeting.

The RTO has nominated the following independent training organisation as the external mediator:

Training Manager,
Alliance College
Address: Level 2/97 Pirie Street, Adelaide, South Australia 5000.
Email: eva@alliancecollege.edu.au
Tel: 1300 665 065
[RTO code 0137, CRICOS code 01774A]

In addition, South Australian Skills Commission also provide independent support and dispute resolution services to all training students in South Australia. A dispute can be lodged by submitting an online form which can be accessed [here](#).

6. Self-Assurance Activities

To ensure compliance and continuous improvement, Auctus will implement the following:

Accessible and Outcomes-Focused Systems

- Conduct annual reviews of complaint and feedback channels.
- Survey students on ease of access and satisfaction with resolution processes.
- Monitor third-party compliance with feedback and complaints procedures

Procedural Fairness and Timeliness

- Audit complaint and appeal records quarterly for adherence to timeframes and fairness.



- Provide training to staff on managing complaints and appeals professionally and ethically.
- Document and communicate outcomes to all parties involved.

Continuous Improvement from Outcomes

- Maintain a feedback and appeals improvement log.
- Include complaint and appeal trends in quarterly management reports.

7. Examples Of Common Complaints

To support transparency and preparedness, the organisation recognises the following as common types of complaints that may be raised by students or stakeholders. It is important to note that there may be other types of complaints too and this policy applies to all complaints.

Training and Assessment Related

- Concerns about the quality or relevance of training materials
- Perceived unfairness or inconsistency in assessment outcomes
- Lack of timely feedback or support from trainers
- Inadequate access to learning resources or equipment

Support Services Related

- Insufficient academic or wellbeing support
- Lack of responsiveness from student services
- Issues with accessibility for students with disability

Administrative Processes Related

- Errors in enrolment, fees, or certification
- Delays in processing applications or issuing results
- Miscommunication or lack of clarity in policies and procedures

Conduct and Behaviour Related

- Disrespectful or discriminatory behaviour by staff or other students
- Harassment, bullying, or intimidation
- Breach of student or staff privacy or confidentiality

Third-Party Delivery Related

- Concerns about training or assessment provided by third-party providers
- Lack of clarity on who to contact for support or complaints
- Inconsistent standards between RTO and third-party environments



These examples are not exhaustive but serve to illustrate the types of issues that may be raised. All complaints, regardless of nature or severity, are taken seriously and handled in accordance with the principles of procedural fairness and continuous improvement.

3.13 Parchments

Once you have successfully completed all the units of competency in your training plan, you will be issued with a Qualification Certificate within 30 days. The certificate lists the code and name of the qualification, and the units of competency completed.

A Statement of Attainment is issued when you partially complete a training program and lists only the units of competency you have completed.

Re-issuing of parchments is possible where a certificate or statement of attainment has been misplaced or damaged. Contact Auctus to request a replacement after providing the relevant identification; a re-issue fee of \$100 will apply.

3.14 Deferrals

If for any reason the student wishes to defer their involvement in training and assessment, the student is encouraged to discuss this with their trainer/assessor as a first step. The trainer/assessor may refer the student to the Student Coordinator for further guidance. In all instances, the organisation will endeavour to support the student to continue with their training.

If the student decides to defer, the student can only do so for a maximum of 6 months, and a deferral administration fee of \$150 will be applied in addition to any other administration costs. Extensions to deferrals will be considered based on individual needs.

A deferral more than 6 months without extension will be considered as intention to withdraw from the enrolled course. Students will be withdrawn in this case and re-enrol if they come back to study. A re-enrolment fee will apply.

For further details on refunds, refer to the Auctus' refund policy in this Student Handbook.

3.15 Suspensions, Withdrawals and Terminations

Students who fail to achieve expected training and assessment progress without appropriate consultation or communication, can be suspended or withdrawn from the course at the discretion of Auctus management. Prior to any suspension or withdrawal, every student will be communicated about what action/s by the student can help to prevent a suspension, withdrawal or termination.



Students can withdraw or terminate their course voluntarily if they are unable to meet their study commitments. Any suspension, withdrawal, or termination request must be actioned with a written notice via email or using withdrawal form. Any submitted assessments will be decided on their merit in line with our assessment system policy and processes.

3.16 Refunds Policy

If a student cancels or withdraws from their enrolment in writing more than 10 working days prior to commencement of training, they may:

- transfer to another course
- receive a refund, less administration costs of \$150

If a student withdraws after the course commences, no refund will be given for any reason.

Students who withdraw or are terminated are required to apply for re-enrolment if they wish to return to the course.

Students who breach their Code of Conduct Agreement will be suspended or withdrawn from the course and no refund will be given.

All other fees & charges are listed on our [website](#).



3.17 Continuous Improvement Policy and Process

1. Objective:

Ensure Auctus Training Institute systematically monitors, evaluates, and improves its operations, services, and compliance with legislative and regulatory requirements.

2. Policy Statements:

- Continuous improvement is embedded across all functions of the RTO.
- Monitoring and evaluation are informed by data, feedback, validation, and regulatory updates.
- Improvements are implemented in a timely and risk-proportionate manner.

3. System Components

A. Monitoring and Evaluation Framework

- **Compliance Calendar:** Tracks obligations under Outcome Standards and Compliance Requirements.
- **Operational Review Schedule:** Evaluates functions such as enrolment, delivery, assessment, and student support.
- **Post-Implementation Reviews:** Assess effectiveness of changes made.

B. Data and Feedback Collection

- **Feedback Channels:** Surveys, suggestion boxes, interviews, and forums for students, staff, and industry.
- **Data Sources:** Completion rates, complaints, validation outcomes, third-party performance reports.
- **Stakeholder Engagement:** Staff and students contribute to identifying improvement opportunities.

C. Continuous Improvement Register

- Records issues, actions taken, responsible persons, timelines, and outcomes.
- Includes sector-wide risks and internal operational risks.

D. Third-Party Oversight

- Regular reviews of third-party services against agreements.
- Inclusion of third-party feedback and performance in improvement planning.

E. Regulatory Engagement

- Proactive disclosure of non-compliance to ASQA.
- Documentation of rectification actions and timelines.



4. Self-Assurance Activities

To demonstrate compliance and support internal quality assurance, Auctus will:

Monitor and Evaluate Performance

- Conduct quarterly internal audits and annual external reviews.
- Maintain a compliance dashboard for leadership oversight.

Engage Proactively with ASQA

- Document all communications and rectification plans.
- Include ASQA updates in staff briefings and training.

Involve Stakeholders

- Hold biannual improvement workshops.
- Include stakeholder feedback in improvement planning.

Collect and Analyse Data

- Maintain a centralised data repository.
- Conduct trend analysis on feedback and completion data.

Use Outcomes to Improve Services

- Link improvement actions to strategic goals.
- Track implementation and effectiveness of changes.



Acronyms

ACRONYMS	
AAC	Australian Apprenticeship Centre
Accredited VET training	Nationally recognised training and/or assessment that leads to an AQF qualification or Statement of Attainment under the Australian Qualifications Framework.
ACE	Adult Community Education
ANTA	Australian National Training Authority
AQF	Australian Qualifications Framework
ASQA	Australian Skills Quality Authority
ASR	Assessment Summary Record
ATIS	Apprenticeship Traineeship Information System
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard
C	Competent
CT	Credit transfer
DEWR	Department of Employment and Workplace Relations
NCVER	National Centre for Vocational Education and Research (NCVER) are used to survey learners and employers.
NYC	Not yet competent
NYS	'Not Yet Satisfactory' outcome in an assessment
RPL	Recognition of prior learning
RTO	Registered Training Organisation
STELA	Student Training and Enrolment Logistics Application Tracks student activity and outcomes
S	'Satisfactory' outcome in an assessment
VET	Vocational education and training



Glossary of Terms

A

- **Academic Integrity:** Adherence to ethical standards in assessment, including avoiding plagiarism, collusion, and cheating.
- **AI Avatar:** A digital representation (animated or video) generated by artificial intelligence to deliver, demonstrate, or communicate training content.
- **Accredited Training:** Training that leads to a nationally recognised qualification or Statement of Attainment under the AQF.
- **Assessment System:** Framework ensuring assessments are valid, reliable, fair, and flexible, aligned with training product requirements.
- **ASQA:** Australian Skills Quality Authority – the national regulator for RTOs.
- **AQF:** Australian Qualifications Framework – national policy for regulated qualifications in Australian education and training.

C

- **Competency-Based Training (CBT):** Training focused on the ability to perform tasks to industry standards.
- **Credit Transfer (CT):** Recognition of equivalent units previously completed at another RTO.
- **Continuous Improvement:** Systematic review and enhancement of training, assessment, and operations.

D

- **Deferral:** Temporary suspension of a student's training, subject to conditions and fees.
- **Disability Standards for Education 2005:** Legal framework ensuring students with disabilities have equal access to education.
- **Diversity and Inclusion:** Commitment to equitable access and culturally safe learning environments.

E

- **Employee Assistance Program (EAP):** Confidential counselling service available to staff.
- **Enrolment:** Process of registering a student into a training product, including suitability assessments and documentation.
- **Exclusive Employment:** Clause restricting employees from engaging in work that conflicts with Auctus interests.

F

- **Fair Work Act 2009:** Legislation governing employment conditions in Australia.



- **Foundation Skills:** Core skills including language, literacy, numeracy, and digital literacy required for workplace success.

G

- **Gap Training:** Additional training provided when RPL evidence is insufficient to meet competency requirements.
- **Governance:** Oversight and leadership ensuring compliance, quality, and strategic direction.

I

- **Industry Engagement:** Collaboration with employers and industry bodies to ensure training relevance.
- **Intellectual Property:** Rights over materials and content created during employment at Auctus.
- **Inclusive Learning Environment:** Training that accommodates diverse student needs and backgrounds.

L

- **Learning Management System (LMS):** Digital platform (Auctus Training/Cloud Assess) used for delivering and managing training and assessments.
- **Legislation and Standards:** Legal frameworks governing RTO operations, including the Outcome Standards for RTOs 2025.

M

- **Marketing and Provision of Course Information:** Policies ensuring accurate, clear, and current information is provided to students.
- **Mental Health First Aid:** Support provided to staff experiencing mental health challenges, coordinated by the Wellbeing Officer.

P

- **Parchment:** Certificate or Statement of Attainment issued upon successful completion of training.
- **Professional Development (PD):** Ongoing training for staff to maintain current skills and knowledge.
- **Privacy Act 1988:** Legislation protecting personal information and data security.

R

- **Recognition of Prior Learning (RPL):** Assessment process recognising skills and knowledge gained through experience.
- **Registered Training Organisation (RTO):** Organisation approved to deliver nationally recognised training i.e. Auctus Training Institute.
- **Reasonable Adjustment:** Modifications to training or assessment to support students with disabilities.



S

- **Self-Assurance Activities:** Internal audits and reviews to ensure compliance and continuous improvement.
- **Student Support and Wellbeing:** Services provided to assist students academically and personally.
- **Suspension/Withdrawal/Termination:** Processes for managing student disengagement or breaches of conduct.

T

- **Training.gov.au:** National register of VET training packages, qualifications, and RTOs.
- **Trainer Matrix:** Document mapping trainer qualifications to units of competency.

W

- **Work Placement:** Structured practical experience required for certain qualifications.
- **Work Health and Safety (WHS):** Policies and procedures ensuring a safe learning and working environment.

