

SAI Global Code of Practice

CONTENTS

1. Quality Assurance/Improvement	2
2. Legislative Compliance	3
Privacy.....	3
3. Quality Training and Assessment Policy	4
4. Assessments	5
Assessment Methods	5
Plagiarism	6
Applying for Extensions for Assessments.....	6
5. Recognition of Prior Learning (RPL) and Credit Transfer	7
6. Access and Equity Policy	8
Harassment, Victimization, Bullying.....	9
Support.....	9
Reasonable Adjustment	9
7. Financial Management	10
Fees	10
Refunds	10
8. Administrative and Record Keeping	10
9. Marketing and Advertising	11
10. Certificates	11
Issuing Statements of Attainment, Qualifications and other Certificates.....	11
Use of Accrediting Bodies Logos.....	11
Re-issuing qualifications and transcripts.....	12
11. Appeal Process	12
Grounds for Appeal.....	12
Independent Assessor.....	13
Appeals to Registering Authorities	13
12. Complaints Mechanism	13
13. Participant Discipline	14
Disciplinary Action	14

SAI Global's Code of Practice outlines our commitment to ensuring high quality standards in operations and service by aligning our business practices to the ISO9001 Standard, the requirements of the Professional Certification body RABQSA and, as a Registered Training Organisation (RTO), the Australian Quality Training Framework (AQTF).

The Code of Practice outlines SAI Global's commitment to:

- Quality assurance/continual improvement activity
- Legislative compliance
- Quality training and assessment practice
- Access and equity
- Sound financial and administrative practices
- Ethical marketing and advertising
- Issuance and recognition of qualifications
- Procedures for managing appeals, complaints and disciplinary matters

This Code of Practice should be read in conjunction with the Terms and Conditions. These documents are both located on the SAI Global website at:

Code of Practice: <http://www.sai-global.com/professionalservices/Resources/CodeOfPractice.htm>

Terms and Conditions: <http://www.saiglobal.com/training/assurance/terms-conditions/default.htm>

1. QUALITY ASSURANCE/IMPROVEMENT

SAI Global utilise a quality management system to ensure improvements and non-conformances are managed. Inputs into its quality management system can be identified by, but not limited to:

- Client feedback
- Audit processes
- Client complaints/grievances
- Industry consultation
- Training evaluations
- General identified non-conformances

SAI Global regularly conducts and reviews these inputs according to its continual improvement process, along with identification and management of potential risks and preventative action. SAI Global will carry out regular reviews of courses, procedures, structures and methodologies to ensure that they remain appropriate and effective. These reviews will cover such areas as but not limited to:

- Feedback & stakeholder input
- Trainer and Assessor Standards
- Training and Assessment Strategies
- Course materials
- Assessment Guidelines structure and procedures
- Application of industry or workplace standards
- Recognition of Prior Learning procedures
- Complaints and appeals procedures

- Records and reporting processes
- Communication and feedback processes

Outcomes of these reviews will be reported on and fed back in to the quality management system for continual improvement.

Therefore, feedback is very important to us in the continual improvement of our services.

2. LEGISLATIVE COMPLIANCE

SAI Global is subject to a variety of legislation related to training and assessment as well as general business practices. Legislation includes but is not limited to:

- Vocational Education and Training Accreditation Act
- Relevant State/Territory Occupational Health and Safety Act
- Relevant State/Territory Workplace Injury Management and Workers' Compensation Act
- Relevant State/Territory WorkCover Legislation Amendment Act
- Relevant State/Territory Anti-discrimination Act
- Affirmative Action (Equal Employment Opportunity for Women) Act
- Copyright Act
- Privacy Act and National Privacy Principles
- Child Protection (Prohibited Employment) Act

SAI Global also recognises the role of JAS-ANZ, which is the government-appointed accreditation body for Australia and New Zealand responsible for providing accreditation of conformity assessment bodies in the fields of certification and inspection (ie: they accredit RABQSA and SAI Global).

Privacy

SAI Global collects personal information necessary for the creation and maintenance of participant records. This information may include name, date of birth, address, postcode and contact details, attendance records, assessment results and program evaluations. By completing an enrolment form participants agree to information being collected and used according to RTO reporting requirements (established under legislation). SAI Global undertakes to observe all relevant State and Commonwealth legislative and regulatory requirements in line with the national privacy principles, and confidentiality is maintained in respect to all participant information and records.

In keeping with our commitment to protecting our participants' privacy, information collected is not disclosed to third parties, with the exception of the participant's employer, on request (if they are financing the participant's program) and other service / benefit providers with permission. We do not sell personal information to third parties. It is the responsibility of SAI Global and all who work for us to ensure all personal participant details are kept secure and that no unauthorised persons or organisation have access to records.

SAI Global also collects student information to maintain and improve the quality of the Vocational Education and Training system. Enrolment and completion details may be passed on to relevant Government agencies, or representatives thereof, and remain confidential to those agencies. Students may also be contacted to participate in surveys, essential to monitoring the quality of service provision. The Public Administration Act (2004), the Information Privacy Act (2000) and Privacy Act 1988 (Cth) which apply to this organisation provide protection against the misuse of student information.

Please note that personal information obtained may also be provided to RABQSA, where appropriate, in keeping with our arrangement as an RABQSA TPECS training provider. This enables RABQSA to contact participants to determine if they are interested in pursuing RABQSA personal certification. http://www.rabqsa.com/cp_com.html

3. QUALITY TRAINING AND ASSESSMENT POLICY

SAI Global commits to undertake any/all of the following activities to ensure quality training and assessment is provided to a high standard:

- a) Provide, prior to course commencement, information about the course of study.
- b) Provide fair and equitable access to training for all potential and current clients, and provide appropriate support and/or reasonable adjustment where necessary (including language, literacy and numeracy).
- c) Ensure that current material for the course is made available to trainers prior to course and participants at time of course.
- d) Ensure that training and assessment occurs in accordance with the requirements of the course, training package/units of competency.
- e) Designate a person or persons with relevant qualifications and experience to undertake responsibility for the management and coordination of training delivery, assessment, verification, staff selection and professional development.
- f) Ensure that all courses/qualifications are renewed prior to expiry where decision is made to continue offering.
- g) Identify, negotiate, plan and implement appropriate learning and assessment strategies to meet the diverse needs of its clients.
- h) Develop / review new and existing courses in consultation with industry/enterprises.
- i) Review courses and course materials at least every three years to ensure they meet the needs of clients; reflect industry, compliance, accreditation and regulatory changes; and demonstrate continual improvement.
- j) Validate assessment strategies by reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgments made by a range of trainers/assessors against the same competency standards; and documenting any action taken to improve the quality and consistency of assessment.
- k) Access staff, facilities, equipment, training and assessment materials required to provide the training and/or assessment services within its scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment requirements.
- l) Implement procedures for the recruitment, induction, and ongoing development of each member of its staff who is involved in training, assessment or client service; encourage and provide relevant opportunities for their professional development; and monitor their performance.
- m) Ensure each member of SAI Global staff who is involved in training, assessment or client service is competent for the functions they perform.
- n) Ensure trainers demonstrate vocational competencies at least to the level of those being delivered, hold a Certificate IV in Training & Assessment (TAA04) or equivalent and

demonstrate industry experience that is current and relevant to the particular course they are delivering.

4. ASSESSMENTS

SAI Global ensures its assessments meet the requirements of RABQSA and those qualifications or accredited courses within the scope of its registration as an RTO.

SAI Global will ensure that assessments:

- a. Where relevant, comply with the Assessment Guidelines in the applicable Training Package(s), the requirements of the Units of Competency that make up nationally recognized qualifications and/or accredited courses and RABQSA's Examination Principles;
- b. Are conducted by qualified assessors according to the AQTF/RABQSA examiners requirements;
- c. Lead to the issuing of a Certificate or Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency/RABQSA competency standards;
- d. Comply with the principles of validity, reliability, fairness and flexibility;
- e. Provide for applicants to be informed of the context and purpose of the assessment and the assessment process;
- f. Where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;
- g. Involve the evaluation of valid, reliable, accurate, authentic and sufficient evidence to enable judgments to be made about whether competency has been attained;
- h. Provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;
- i. Are equitable for all persons, taking account of cultural and linguistic needs;
- j. Provide for reassessment on appeal; and
- k. Are reviewed and validated regularly.

SAI Global ensures that Recognition of Prior Learning (RPL) / Credit Transfer is offered to all applicants upon enrolment (refer to section 5 below).

Assessment Methods

Where applicable, SAI Global will conduct formal assessment of competency using any of (but not limited to) the following assessment methods:

- Direct observation by an assessor of demonstrated skills
- Indirect observation by a third party of demonstrated skills
- Questioning (written or oral)
- Review of work samples / products
- Portfolio of documentary evidence
- Third party feedback (interviews or documentation from employers, supervisors, peers)

- Structured in-class activities (activities based on case-studies / simulated environments)

Plagiarism

Participants are expected to acknowledge the intellectual property of others upon whose work they draw in the preparation of assignments and assessment tasks. Plagiarism is regarded as serious misconduct.

Applying for Extensions for Assessments

SAI Global normally allows for a three (3) month period in which to complete required post course assessments (unless otherwise stated). This enables the close link between learning and demonstrated practice and ensures currency of assessment.

It is the intent of SAI Global to support their participants through the pressures of work and other events or commitments. However, participants are required to apply for an extension prior to the due date if they believe they are unable to complete the assessment by the due date.

Please note that late lodgment of assessments including essays, assignments, and take-home tests without prior warning will not be normally be accepted, although consideration may be given to exceptional circumstances.

Exceptional circumstances may include:

- death or serious illness of a close relative
- any issue that may arise due to being a primary care giver
- parental leave requirements
- falling victim to a serious crime
- involvement in a serious accident or other circumstances causing personal or emotional trauma or incapacity on the due date for submission

Other circumstances include:

- holiday arrangements (including overseas travel)
- work commitments (including travel)
- or carrying a work overload due to changes at work
- changing jobs
- social events (including sporting or cultural commitments)

All extension requests must provide justifiable reasons and be verifiable. If extension permission has been sought, no more than 12 months should pass between attendance on a course and submission of an assessment.

N.B. SAI Global will consider each submission on an individual basis. Therefore it is recommended that applicants notify the Customer Service team as soon as possible to discuss their situation and needs.

5. RECOGNITION OF PRIOR LEARNING (RPL) AND CREDIT TRANSFER

SAI Global is committed to providing participants with the opportunity to **formally assess** their existing skills and competencies against components or full programs/courses delivered by SAI Global. The two methods used – RPL and Credit Transfer, are outlined below.

Recognition of Prior Learning (RPL) involves the **formal assessment** of their existing skills against competencies delivered by SAI Global, irrespective of how or where these skills have been acquired (ie: prior study, work and life experiences, informal/non-formal learning).

Credit Transfer involves the **recognition of the competencies already assessed and awarded** by another Registered Training Organisation (RTO) *or by another RABQSA certified training provider.*

Process for applying for RPL

1. The applicant makes initial enquiries regarding RPL. Customer Service explains the assessment process to the applicant and clarifies which qualification (or part thereof) they are seeking.
Please note that Customer Service will not accept/consider unsolicited copies of certificates etc. as part of the RPL enquiry.
2. When requested, SAI Global forwards the booklet “*An Introduction to RPL*”, and an *RPL Application Form*.
3. When the *RPL Application Form* is completed and returned to SAI Global. The applicant’s enrolment details are entered in the system, an invoice is generated and the *RPL Kit* and *Facts Sheet* are sent out to the applicant.
4. Applicant completes the *RPL Kit*, identifying the units of competency they would like to attain via the RPL process, explaining the context of their claim, listing and collating evidence to support their application. The applicant can call Customer Service (RPL officer) for further information if required (if the question is concerned with technical aspects of competence and recognition, the applicant will be referred to a qualified assessor, compliance specialist or subject matter expert).
5. Applicant sends in the completed RPL Kit. An initial check is made of the applicant’s submission to see if they need to be contacted for further clarification, additional verified documents and any missing information. The application is then forwarded to an appropriate, qualified assessor
6. The Assessor assesses the RPL application
7. *Where applicable, the application will be sent to RABQSA for approval*
8. Applicant is advised of outcome, usually by e-mail
9. The applicant can refer any questions they might have about the assessment outcome via Customer Service. If required, the applicant is provided with two additional formal opportunities to submit any other information as requested by the assessor to assist their application, after which an hourly fee will apply to any further assessment. If the applicant is not successful, they are provided with alternative pathways (ie: attending the course) and if not happy with the outcome, may appeal the assessment decision according to the Appeals process.
10. If the application for RPL is successful, a Statement of Attainment is sent to applicant upon payment of invoice.

Process for applying for Credit Transfer:

1. Applicant makes initial enquiries regarding credit transfer. Customer Service explains the process to the applicant and clarifies which qualification (or part thereof) they are seeking. *Please note that Customer Service will not accept/consider unsolicited copies of certificates etc. as part of the credit transfer enquiry.*
2. Applicant completes the *Credit Transfer Application Form* identifying the units of competency they would like to attain via the credit transfer process, explaining the context of their claim, listing and collating evidence to support their application. The applicant can call Customer Service (RPL/Credit Transfer Officer) for further information if required (if the question is concerned with technical aspects of competence and recognition, the applicant will be referred to the Head Assessor or Subject Matter Expert)
3. Applicant sends in completed form. The applicant's enrolment details are entered in the system and an invoice is generated. An initial check is made to see if the applicant needs to be contacted for further clarification, additional verified documents and missing information.
4. The Applicant is advised of the outcome. If the application is not accepted, the applicant will be given the opportunity to re-submit evidence. If this is not accepted, the applicant is recommended to undertake the course or engage in the RPL process.
5. If successful, the Qualification or Statement of Attainment is sent to applicant upon payment of invoice.

For more information about RPL and Credit Transfer, go to
<http://www.training.com.au/portal/site/public/menuitem.a9bdc36a165dfb80f9fa5a1017a62dbc/>

6. ACCESS AND EQUITY POLICY

SAI Global is committed to providing a safe learning environment that values diversity, offers equality of opportunity to all participants and staff and is free from harassment and discrimination. As such SAI Global endeavours to provide education and training that is responsive to the diverse needs of all stakeholders; through compliance with Commonwealth anti-discrimination legislation, as well as the relevant State legislation; and relevant Federal, State and Local Government bodies.

All participants will be selected in an ethical and responsible manner and consistent with the requirements of the course. Participants have access to clear information, prior to enrolment, about their course and the relevant associated services and procedures. SAI Global's policy on Access and Equity will be included in information provided to employers, trainers/assessors and participants and ensures that:

- Training and assessment approaches and activities will cater for learner diversity, access, equity and support considerations and will ensure relevance, fairness and consistency.
- Any person who raises a complaint will be directed to use the SAI Global Complaint Procedure.
- SAI Global's operations, products and services are actively reviewed to ensure provision is made for access, equity and support and learner diversity.
- SAI Global General Manager Training and Improvement Solutions will be responsible for the implementation and maintenance of this Access and Equity policy.

SAI Global Staff are responsible to ensure that they understand and implement the Access and Equity policy and behave appropriately towards all stakeholders. All stakeholders should expect that:

- They are not treated unfairly because of their gender, marital status, age, ethnic/racial background, religion, country of origin, disability, etc;
- They are not harassed (made to feel intimidated, bullied, offended or humiliated) because of any of the above;
- Concerns regarding discriminatory treatment or harassment raised with SAI Global will be dealt with promptly, fairly and impartially.

Participants are also expected to make sure that they respect the diversity of other people and ensure their own behaviors do not result in other participants or staff feeling intimidated, humiliated or offended.

Harassment, Victimization, Bullying

SAI Global will not tolerate any harassment, bullying or any such conduct that has the purpose or effect of interfering with an individual's work performance or creating an intimidating, hostile, or an offensive learning environment. This includes harassment, victimisation, bullying because of sex, race, national origin, religion, disability, sexuality or age.

Participants and staff should be aware that differing social and cultural standards may mean that behavior acceptable to some may be perceived as offensive by others. Such conduct, when experienced or observed should be reported to management.

All complaints will be promptly investigated. The privacy of a client filing a report and the individual under investigation shall be respected at all times consistent with the obligation to conduct a fair and thorough investigation.

Support

For the duration of the enrolment period, participants are eligible to receive support from Customer Service and other support staff. They also have access to qualified face to face and remotely based staff throughout the training period to assist with individual learning needs.

Those who have difficulty in achieving the required level of competency in a program may be offered counseling, coaching, additional study resources or coursework. A fee may be charged for these services, being identified and agreed with the participant prior to acceptance.

Participants who may experience difficulty on any basis including disability, medical or other conditions, literacy, numeracy, English language or other areas of learning are asked to advise SAI Global upon enrolment. We may be able to provide direct assistance or refer the participant to an appropriate agency.

Reasonable Adjustment

A '[reasonable adjustment](#)' is defined in the Disability Discrimination Act as a 'measure or action taken to assist a student with a disability to participate in education and training on the same basis as other students'. 'Reasonable adjustments' can include alternative examination arrangements, alternative forms of assessment, time extensions, and provision of study materials in an alternative format.

Reasonable adjustment will be provided for individuals if they inform SAI Global of the nature of their disability at the time of enrolment so that suitable adjustments may be made to course materials, class facilities and assessment tasks.

Reasonable adjustments may include the use of adaptive technology, educational support, alternative methods of assessment such as oral assessment, and individual assessment conditions such as enlarged print materials, scribes or additional time in the examination period.

7. FINANCIAL MANAGEMENT

SAI Global has effective financial management procedures in place to:

- Ensure that SAI Global complies with its financial management policies
- Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement
- When requested, provide their registering body with a formal assurance that SAI Global has sound financial management standards for matters related to their scope of registration and scale of operations.

Fees

Course fees are advertised in the Training Calendar and on the website. For information about payment of fees, refer to the Terms and Conditions located on the SAI Global website <http://www.saiglobal.com/training/assurance/terms-conditions/default.htm>. Please contact Customer Service for further information.

Refunds

SAI Global has systems to protect fees paid in advance and has fair and reasonable refund policies. Refer to the Terms and Conditions located on the SAI Global website <http://www.saiglobal.com/training/assurance/terms-conditions/default.htm>.

8. ADMINISTRATIVE AND RECORD KEEPING

SAI Global keeps complete and accurate record of the attendance and progress of participants through courses, as well as financial records that reflect all payments and charges and the balance due. SAI Global will provide copies of these records to participants upon request.

SAI Global will maintain up to date records of*:

- The verified qualification and experience of all staff persons working on behalf of SAI Global as trainer/assessors
- Participant enrolment, attendance and outcomes (including assessment and awards issued)
- Fees paid and refunds given

SAI Global adheres to its record archiving policy relating to accredited and non-accredited training records*. Personal training records can be accessed by individual participants upon request.

Accredited course records are available to course participants for a period of 30 years from the date of the course attended. Applications for such records must be in writing, quoting the following pieces of information:

- Full name, date of birth and address given at the time of enrolment
- Name of course undertaken and date(s) course attended
- Name of Trainer

Access to personal non-accredited course records after 2005 can be provided to participants upon request. However, any non-accredited course searches prior to 2005 will involve an hourly fee for manual search and SAI Global cannot guarantee results.

**These records are available upon application in writing to training@saiglobal.com*

9. MARKETING AND ADVERTISING

SAI Global ensures that their marketing and advertising of delivery and training services is ethical in the area of:

- Accuracy and authorisation
- Obtaining prior written permission from any relevant person or organisation
- Accurate representation of courses to prospective clients
- Offering AQF qualifications within SAI Global's scope of registration and appropriate use of national and state/territory logos
- Marketing training and assessment services leading to AQF qualifications and/or Statements of Attainment separately from any other training/assessment services.
- Marketing training and assessment services leading to RABQSA certification and use of their logo according to RABQSA requirements

10. CERTIFICATES

Issuing Statements of Attainment, Qualifications and other Certificates

SAI Global issues nationally recognized statements of attainment and qualifications and/or RABQSA certificates of attainment to those who meet the required outcomes of a qualification or unit of competency in accordance with the Australian Qualifications Framework (AQF), the relevant endorsed Training Package and/or RABQSA requirements.

SAI Global will issue, record and report issuance of certificates that:

1. Meet the requirements in the current AQF implementation handbook, including the national codes
2. Meet the requirements specified by RABQSA
3. Identify the unit/s of competency from training packages, accredited courses or RABQSA competencies that the client has attained
4. Identify SAI Global by its RTO national provider number.

SAI Global undertakes to issue certificates within 4 weeks of the successful completion of all required components of a course (including formal assessment where required).

Use of Accrediting Bodies Logos

SAI Global complies with the requirements for the use of National and State/Territory logos.

SAI Global uses the Nationally Recognised Training (NRT) logo:

- On AQF Qualifications and Statements of Attainment issued within its scope of registration
- In accordance with the Nationally Recognised Training Logo Specifications.

SAI Global uses the logo of the recognition authority only in accordance with the recognition authority's conditions of use.

SAI Global uses the RABQSA logo only in accordance with its conditions of use as outlined in the TPECS Certification Requirements.

Re-issuing qualifications and transcripts

Administration fees may apply for re-issuing Qualifications, Statements of Attainment and other certificates. Please contact Customer Service for more information regarding fees for re-issue.

Requests for the re-issue of certificates should be made in writing to training@saiglobal.com SAI Global will require proof of identity that is consistent with our records before certificates will be issued. Please contact Customer Service for more information.

Reissued certificates will carry the original date of issue, the original certificate code number and the date of re-issue.

Please remember to store original documents safely (the transcript is just as important as the certificate upon which a qualification is recorded), and when required to furnish these, keep hold of the originals. Allow the original to be sighted, but only hand over certified copies.

11. APPEAL PROCESS

A fair and impartial appeals process is available to all participants of SAI Global. If a participant wishes to appeal his/her assessment result, he/she must first discuss the issue with the trainer/assessor (Customer Service to may facilitate communication).

If the participant would like to proceed further with the request after discussions with the trainer/assessor, a formal request should be made in writing within 1 month of receiving the results of the assessment.

The written request should outline the grounds / reason(s) for the appeal and provide any evidence to support the validity of their claim.

Grounds for Appeal

An application for appeal will be reviewed by a panel consisting of the RTO Quality & Accreditation Specialist, the Operations Manager and an independent third party. This panel will consider whether the appeal is valid on the following grounds:

- A participant claims a disadvantage because the trainer did not provide relevant learning and/or assessment materials

- A participant claims disadvantage because the trainer varied the assessment requirements without consultation or in an unreasonable way
- A participant claims disadvantage because assessment requirements specified by the trainer were unreasonably or prejudicially applied to him or her
- A participant claims disadvantage because the assessment process breached the principles of assessment (valid, reliable, flexible and fair)
- A participant is of the view that a clerical error has occurred in the documenting of the assessment outcome

Independent Assessor

If the grounds for an appeal are valid, SAI Global will appoint an independent assessor who will make all necessary arrangements to conduct a re-assessment of the participant at a time that is mutually convenient for all parties concerned. The cost of the re-assessment will be borne by SAI Global and the independent assessor's decision is final.

All appeals are recorded and reviewed at SAIG management review meetings. Results of the appeal are communicated in writing to the participant and a copy of this communication is also kept on file, both on the Appeals register and in the participant's individual file.

Appeals to Registering Authorities

If the participant is still unhappy with the assessment outcome after an Appeal, they also have the right to complain to the relevant registering authority (i.e. the National Audit and Registering Authority (NARA) <http://www.nara.tvetaustralia.com.au/> or RABQSA www.rabqsa.com).

12. COMPLAINTS MECHANISM

Feedback from customers may include complaints, positive feedback, requests, enquiries and suggestions for improvement. SAI Global values the feedback it receives from customers in any of these forms, to ensure customer's needs are being met and our practices and services and continually improved upon.

In particular, SAI Global ensures that participants and clients have access to a fair and equitable process for dealing with complaints and grievances. The complaints mechanism is an important component of SAI Global's continual improvement approach and is in alignment with SAI Global's Corporate complaints/grievance policy.

The complaints process is as follows:

- a. The complainant to communicate their complaint directly with an appropriate representative of SAI Global, e.g. the assessor/trainer or customer service representative, by telephone, e-mail or by completing the Complaints form available on-line.
- b. The SAI Global representative may determine if corrective action is required or if unsure, discuss with their relevant manager and record the complaint on a Complaint Form.
- c. The relevant SAI Global manager will make a decision on the best way to rectify the complaint, identify and action any necessary corrective and preventative action, and record outcomes on the Complaint Form and/or in the RTO database as a Continuous Improvement 'case'.

- d. The relevant company representative/manager will communicate the outcome to the Complainant and take appropriate steps to resolve the complaint. Once resolved, the representative will close the complaint and provide records to the RTO Compliance & Accreditation Specialist.
- e. The RTO Compliance & Accreditation Specialist records details of the complaint in the Continuous Improvement Register and files the Complaint Form with all relevant documentation in the Complaints Folder (located with the RTO Compliance & Accreditation Specialist).
- f. The RTO Compliance & Accreditation Specialist will monitor Continuous Improvement 'Cases' by generating regular reports to identify any areas for improvement in the Quality Management System and record continual improvement items in the Continual Improvement Register Report. The management team will review the complaints and identified continual improvement mechanisms on a regular basis.
- g. If the company representative is unable to action the complaint to the satisfaction of the Complainant they may ask for the complaint to be referred to the SAI Global General Manager of Training & Improvement Solutions (or a nominated management representative). An independent panel consisting of the relevant manager and company representative and an independent person will be convened to review the complaint.
- h. The complainant shall be given an opportunity to present his/her case to the panel and may be accompanied by one other person as support or as representation.
- i. The relevant staff member shall be given an opportunity to present his/her case to the panel and may be accompanied by one other person as support or as representation.
- j. The panel will make a decision on the complaint and that decision will be final.
- k. The panel will communicate its decision to all parties in writing within 5 working days of making its decision and provide records to the RTO Compliance & Accreditation Specialist (who will follow step 'e' above).

Or

If the Complainant is still dissatisfied with the outcome after the Complaints process had been followed, they have the right to complain to the registering authority (ie: the National Audit and Registering Authority (NARA) <http://www.nara.tvetaustralia.com.au/> or RABQSA www.rabqsa.com).

13. PARTICIPANT DISCIPLINE

SAI Global believes that participants have the right to be treated with respect and courtesy by SAI Global Staff and fellow participants in an environment free from harassment and conducive to learning.

Participants are expected to behave in a co-operative and professional manner at all times during training sessions, activities and group work. Participants who consistently adversely affect the learning environment for others will face disciplinary action and may be expelled from the course.

Disciplinary Action

Disciplinary action will be taken when a participant displays (but not limited to) any of the following behaviors:

- Fails to comply with any instructions given by a member of SAI Global staff relating to the safety of any person or persons on SAI Global premises

- Brings onto, or consumes on SAI Global training premises, any drug of addiction or dependence (except drugs prescribed by a qualified medical practitioner)
- Brings onto or consumes on SAI Global training premises any alcohol
- Exhibits any form of behavior that is adversely affected by the influence of drugs or alcohol
- Assaults (physically or verbally) any person or persons on the premises of SAI Global or any training venue hired by SAI Global
- Exhibits any form of conduct within SAI Global premises that is considered to be aggressive, disorderly, disruptive, harassing or interferes with the comfort, safety or convenience of any person who is acting lawfully and entitled to be present
- Damages or remove any property or resource of SAI Global or any training venue hired by SAI Global
- Enters any part of SAI Global premises or any other place to which participants have access for the purpose of tuition, when not entitled to do so, or having entered, refuses to leave said premises when asked.
- Plagiarizes another's work, and does not acknowledge their intellectual property

In the case of serious misconduct (ie: assaults, alcohol/drug consumption), the participant will immediately be removed from the training program and the matter handled by the General Manager, Training and Improvement Solutions or nominated representative.

Disciplinary procedure (excluding for cases of serious misconduct) involves:

- a. A verbal warning will be given by the trainer/nominated company representative and documented on the participant's individual file.
- b. If the behaviour continues after the verbal warning, the General Manager of Training and Improvement Solutions, or a nominated representative, will arrange counseling for the participant by an appropriate member of staff, and a written warning will be provided to the participant. A copy of this warning will be noted and kept on the participant's individual file.
- c. In the event that the behavior continues beyond the written warning, the participant will be removed from the training program. Notification of their removal will be made in writing and a noted copy will be placed on the participant's individual file.

If a participant wishes to express a complaint in relation to the disciplinary action taken, they should follow the SAI Global Complaint Procedure.