

# KOMATSU

## Training Academy



## Participant handbook

This Participant Handbook  
has been prepared for the participants of:

**Komatsu Training Academy Pty Ltd trading a Komatsu Training Academy  
(RTO: 90996)**

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**Version 3 (Sept 2024)**

### **Handbook Disclaimer**

*Komatsu Training Academy Pty Ltd (KTA), has endeavoured to ensure that the information contained in this Participant Handbook is correct at the time of issue. However, if changes occur in relation to content KTA reserves the right to change or update without notice.*

*If any person/s has further questions on the content of this handbook they should contact KTA directly at: [KTA@komatsu.com.au](mailto:KTA@komatsu.com.au)*

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## Message from the CEO – Komatsu Training Academy



As the General Manager/CEO of this organisation, I want to assure participants that I fully support the implementation of all Quality, Management, and Operational Functions outlined in the Participant Handbook. We are committed to Continuous Quality Improvement in all aspects of our operations at the Komatsu Training Academy (KTA). Your input is valuable to ensure that our services meet your expectations.

This Participant Handbook serves as a guide for KTA, directing us towards best practices in Training Development, Management, and Service Delivery. It also helps us comply with the standards set by the Australian Skills Quality Authority. For our clients, it ensures that their investment in training will result in the best possible experience and outcomes.

Thank you for choosing KTA for your training needs. We believe that this Participant Handbook will provide you with the necessary information to proceed with your enrolment and successfully complete your training. Before enrolling in our courses, you will have the opportunity to discuss the content of this handbook with a member of the KTA team, who will confirm that you have considered this information. If you have any questions before or during your enrolment, please do not hesitate to contact me or any member of our team.

Sincerely,

*Janine Gurney*

General Manager – Strategic Capability and CEO KTA



## Our vision

### *The world we want to create*

Creating value through manufacturing and technology innovation to empower a sustainable future where businesses, people, and our planet thrive together.

### *Our promise*

Creating value together We promise our stakeholders – customers, dealers, employees, investors and people in all communities – to positively support the growth needs of society, and sustainably improve our world by working together.

## Our values

### *Ambition*

With a 'challenging spirit' and without fear of failure, we innovate and always aspire to do more.

### *Perseverance*

Even when the work is difficult, we remain committed to our promises and reliably carry them through to completion.

### *Collaboration*

Creating value comes from teamwork, inclusion, respect, diversity and a win-win approach to all relationships.

### *Authenticity*

To earn and maintain trust, we always act with sincerity, integrity and honesty, and we communicate transparently.

# KOMATSU

# OVERVIEW

## REGULATORY FRAMEWORK

As a Registered Training Organisation Komatsu Training Academy is subject to the regulatory framework that governs the Australian Vocational Education and Training sector and protects both RTOS's and participant. The legislative framework established by the National Vocational Education and Training Regulator Act 2011 and related legislation, empowers the Australian Skills Quality Authority (ASQA) as the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers according to the Standards for Registered Training Organisations 2015 to ensure nationally approved quality standards for training are met.

### The VET Quality Framework is comprised of:

- [Standards for Registered Training Organisations 2015](#)
- [Australian Qualifications Framework](#)
- [Fit and Proper Person Requirements](#)
- [Financial Viability Risk Assessment Requirements](#)
- [Data provision requirements](#)

## OVERVIEW OF KOMATSU TRAINING ACADEMY

Komatsu Training Academy recognises the importance and benefits of combining industry experience with tertiary education when striving to deliver programs of highest quality and relevance to the client. All trainers and assessors employed or contracted by KTA have demonstrated significant industry experience in addition to obtaining tertiary qualifications, allowing them to provide a professional, well rounded learning environment for participants. Staff are equipped with the skills to ensure their teaching methods are suitable for all participants, utilising simple language where appropriate to communicate information most effectively. Komatsu Training Academy strictly adheres to the Standards for RTOs 2015 to continue delivering training services of the highest quality to their clients.

The CEO recognises that opportunities for improvement arise in every aspect of business and has developed an organisational culture within Komatsu Training Academy to capitalise on these opportunities for improved practice. Komatsu Training Academy supplies feedback forms to all participants at the end of each program, as participant feedback has been identified as an important and valuable factor in monitoring and developing business practices and quality training, ensuring the ever-changing needs and expectations of clients are being met. The CEO also welcomes feedback from other improvement opportunities such as risk assessment, participant suggestions, complaints and appeals, validation sessions and audit reports.

Participant feedback is critical to our continuous improvement policy. Along with the formal feedback mentioned earlier, participants are encouraged to give feedback throughout their enrolment.

To encourage and achieve continuous improvement based on the collection of the above-mentioned data, Komatsu Training Academy has developed a best practice register which will include a written record of all improvement strategies.

## THE PARTICIPANT JOURNEY

Komatsu Training Academy CEO has identified the audit approach implemented by ASQA since June 2016 and proceeding standards. This represents a change to the traditional audit approach applied by regulators.

Key features include:

- Greater use of risk analysis and intelligence to trigger audits ('proactive regulation')
- Greater focus on the participants experiences and RTO's practices and behaviours
- Options for longer, standard or earlier notice periods
- Scope of audit is flexible, based on intelligence and provider profile
- Information used to inform audit drawn from a wider range of sources including intelligence from other government agencies.
- Greater participant input
- Audit outcomes reported against the phases of the participant experience.

Key phases of the 'participant experience' include:

- Marketing and recruitment
- Enrolment
- Fee protection and arrangements
- Support and progression
- Training and assessment
- Completion

## ENROLMENT PROCESS?

Enrolment is initiated by you contacting KTA. We will despatch to you by suitable means an enrolment form and literature on the course(s) being considered and any other relevant documentation. If pre-requisites are required, you will be notified, and the process explained prior to course commencement.

All participants will receive:

- course brochure
- pre-course letter covering course information and requirements
- enrolment form
- participant handbook
- induction checklist to identify participant needs.
- induction to learning management system – CloudAssess
- site specific online induction - <https://www.onlineinduction.com/komatsuqr>



## **CONTACT DETAILS**

It is important that participants keep their contact details up to date with KTA for the full duration of their training/study period. If details change participants can inform us at [KTA@komatsu.com.au](mailto:KTA@komatsu.com.au)

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

A USI is required by all Australians undertaking nationally recognised training. It allows participants to link to a secure online record of all qualifications gained regardless of the provider. This system was implemented by the Australian Government in 2015, so it will show participants achievements from 1 January 2015 onwards.

As an RTO, KTA cannot issue Certificates or Statements of Attainment without a USI. Therefore, it is mandatory that all participants supply their USI upon enrolment. For more information and instructions on how to apply visit: [www.usi.gov.au](http://www.usi.gov.au)

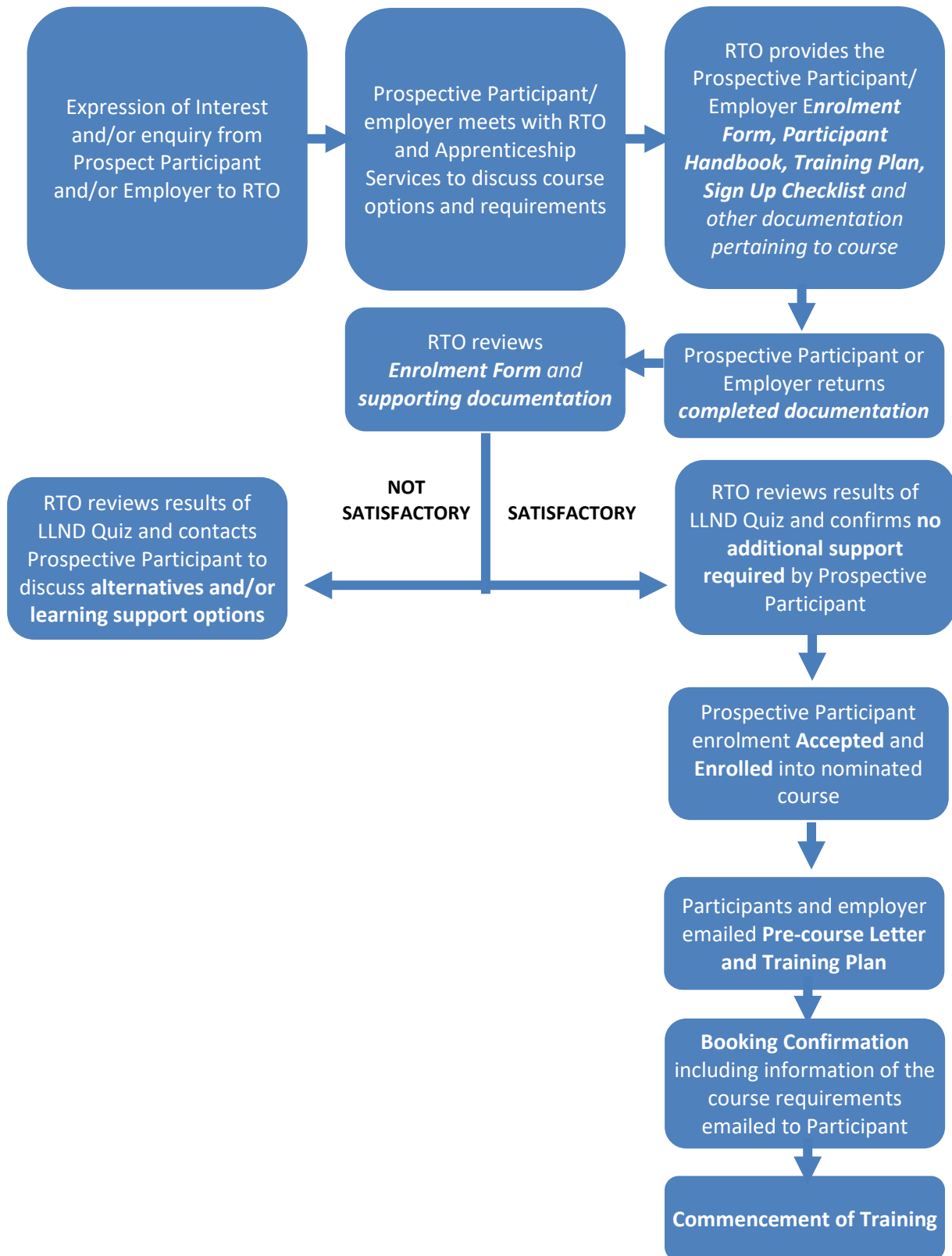
## **IDENTIFICATION**

All participants will be required to complete an enrolment form, this will also require a USI and at least two (2) forms of identification and in some cases more. Those seeking to determine eligibility for further funding might be asked to provide further information or identification.

## **TEXTBOOKS**

Some qualifications that are delivered by KTA will require participants to purchase textbooks, participants will retain these textbooks for their personal use. And will be given guidance on this at the time of enrolment and in their pre-course letter if textbook purchases are required. It is highly recommended that participants purchase textbooks. Textbooks can be purchased at: [www.cengage.com.au](http://www.cengage.com.au)

## KOMATSU TRAINING ACADEMY ENROLMENT FLOW CHART APPRENTICES/TRAINEESHIPS



Enrolment applications will then be assessed to ensure that the participant meets any prerequisites and/or entry requirements that have been set for the selected course. Participants will be informed of successful enrolment and sent information on the course and their course induction. Participants who do not meet the prerequisites for the selected course will be notified of their unsuccessful enrolment and invited to contact KTA to discuss their training needs and alternative opportunities.

## HOW DO I ENROL?

### PRE-COURSE LETTER

Komatsu Training Academy's pre-course letter is designed to provide clear and detailed information to participants prior to the commencement of training. This letter serves as a valuable resource to ensure that participants are well-prepared and informed about the upcoming training. Once enrolled, each participant receives a welcome letter that outlines:

#### Training Details:

- The letter specifies the time, date, and location of the training program. This information allows participant to plan and prepare for their attendance accordingly.

#### Required Resources:

- Komatsu Training Academy outlines the specific resources that participants should bring to the course. This may include textbooks, study materials, equipment, or any other items necessary for active participation in the training.

#### Units of Competency:

- An overview of the units of competency to be studied is provided. This gives participants a clear understanding of the topics and skills they will be learning throughout the training program.

#### Training Format/Style:

- The pre-course letter outlines the format or style of training that will be provided. This could include options such as online, face-to-face, blended (combination of online and face-to-face), or any other applicable format. This information helps participants prepare for the specific mode of delivery and adjust their expectations accordingly.

#### Site Induction:

- The pre-course letter will include a link for participants to undertake the online induction. The online inductions are site specific and will be required to be completed by each participant. Participants should undertake the Komatsu induction relevant to the state undertaking training, and then the site-specific induction, e.g. Welshpool Academy is Welshpool induction/ Qld students will undertake the Sherwood Academy induction.

Site induction link: <https://www.onlineinduction.com/komatsugr>

By sending the pre-course letter, Komatsu Training Academy ensure participants have all the necessary information to start their training journey successfully. This communication allows participants to adequately prepare themselves, understand the logistics of the training program, workplace health and safety and align their expectations with the course requirements.

## LANGUAGE, LITERACY, NUMERACY AND DIGITAL (LLND) ASSESSMENT

On commencement of the enrolment process, participants will be invited to undertake an online LLN assessment. This is a requirement to be undertaken before the completion of the enrolment process. The results of this assessment will assist in determining readiness to undertake learning. Results will also indicate to KTA if further support is required and/or the need to prepare a support plan for individuals.

The assessment is conducted online via LLN robot. LLN Robot is an online system that combines ACSF Testing, course profiling and LLN Support.

The Training Coordinator will enrol the participant into their nominated course via our participant management system aXcelerate to verify the participants USI and register them into the LLN assessment system.

An email titled **'Quiz for your enrolment at Komatsu Training Academy'** is then auto generated to the registered participant.

For example:



Dear NAME,

As part of your course enrolment at Komatsu Training Academy we would like you to complete a short online quiz, so we can understand your current levels of language, literacy and numeracy and then, if required, tailor your training to suit your needs.

Please click on the link below to start the online quiz:

[Link to Quiz](#)

If the above link does not work please copy and paste this URL into your Internet browser:  
<https://komatsu.quiz.lln.training/?invite=390d2b57-a9b4-4c50-8414-1a1c641e8411>

Note: Please access the Quiz using the latest version of Google Chrome.

If you have any questions, please email [admin@komatsulearning.com.au](mailto:admin@komatsulearning.com.au) and someone will respond as soon as possible.

Regards  
Komatsu Training Academy

It is a requirement of all participants who are enrolling in a course or program with KTA to undertake this assessment for each course being undertaken.

The purpose of this assessment is to assist trainer/assessors to identify any support needs that might be required and ensure sufficient LLND skills to undertake the training identified at enrolment.

## LANGUAGE, LITERACY, NUMERACY AND DIGITAL (LLND) ASSISTANCE

Participants may have varying levels of ability in core skills such as learning, reading, oral communication, writing, and numeracy. To ensure that participants have the necessary skills to understand the course material and complete assessments, Komatsu Training Academy conducts language, literacy, and numeracy and digital (LLND) assessments, during the enrolment process.

The need for a LLN assessment is identified during the pre-enrolment process. An assessment is typically administered during the enrolment or initial interview process or upon the participants request for assistance.

The purpose of the LLN test is to identify any areas where participants may require additional support. Komatsu Training Academy trainers and assessors are encouraged to refer to the [Australian Core Skills Framework](#), which provides guidance on tailoring teaching and learning approaches for individuals in need of extra support.

Komatsu Training Academy is committed to accommodating the needs of participants who are facing difficulties with foundation skills. This may include providing LLND support, utilising assistive technology, offering additional tutorials, or assisting participants in using technology for online components of the training.

If the LLND support required exceeds the capacity of Komatsu Training Academy staff, the participant will be referred to an external support agency. This referral aims to provide participants with the opportunity to obtain the necessary skills to successfully complete the training program. Any potential additional costs associated with the support services will be communicated to participants in the pre-enrolment information.

## **CREDIT TRANSFER**

During the enrolment period KTA will endeavour to determine if participants have undertaken prior nationally accredited training, that provides participants with units of competency associated with the current enrolment.

Participants are asked to provide the following documentation to determine any applicable credit transfers at the time of enrolment or within the first two (2) weeks of the initial enrolment process:

- AQF certification documentation issued by another registered training organisation or AQF authorised issuing organisation or
- Authenticated VET Transcripts issued by the registrar and/or a current USI transcript.

**\* The assessment of credit transfer eligibility is provided free when enrolling into a nationally accredited course.**

## **RECOGNITION OF PRIOR LEARNING (RPL)**

Recognition of prior learning (RPL) is the process of identifying characteristics, skills, and professional experiences of individual participants. This form of assessment determines if participants meet the requires of the unit of competency before undertaking training.

Participants should consider discussing this with the KTA team at enrolment time, if they believe they need to be considered for this process.

Further costs may be incurred to undertake the RPL process, and the KTA team can prepare a fee schedule and an agreed training plan for this service.

## **TRAINING PLAN**

After enrolment and LLND assessment is completed a training plan will be created. This plan is individualised for each participant and in some cases input from the participants, parents, schools, and employers.

Unit of competency (UOC) training dates are scheduled in alignment with the projected timeline for completion of the entire training program/qualification. Please Note: participants will be issued with new training plans if changes or edits are undertaken for the duration of the training program.

The training plan will indicate timelines and dates for training. This will include the delivery modes that may include all or some of the following:

- Face to face – Komatsu Training Academy.
- Workplace based training.

- Online training.
- Blended learning.

## **OUR TRAINERS AND ASSESSORS**

KTA recognises the importance and benefits of combining industry experience and vocational experiences to deliver programs of quality and relevance to the client. All trainers and assessors employed by KTA have demonstrated significant industry experience in addition to holding the relevant vocational qualifications. Staff are equipped with the skills to ensure their teaching methods are suitable for all participants, utilising simple language where appropriate to communicate information most effectively.

## **OUR APPROACH**

We recognise that opportunities for improvement arise in every aspect of business and have developed an organisational culture within KTA, these opportunities for improved practice. KTA supplies feedback forms to all participants at the end of each program, as participant feedback has been identified as an important and valuable factor in monitoring and developing business practices and quality training, ensuring the ever-changing needs and expectations of clients are being met. KTA also welcomes feedback from other improvement opportunities such as risk assessment, participant suggestions, complaints and appeals, validation sessions and audit reports.

As a participant with KTA, your feedback is critical to our continuous improvement policy. Along with the formal feedback mentioned earlier, participants are encouraged to give feedback throughout their enrolment. To encourage and achieve continuous improvement based on the collection of the above-mentioned data, KTA has developed a best practice register which will include a written record of all improvement strategies.

Annually all KTA enrolled participants and their employers will be contacted to complete the annual National Centre for Vocational Education and Research (NCVER). Whilst this survey is voluntary, information provided by participants and their employers is invaluable for the nation's largest participant survey.

## **PARTICIPANT INFORMATION**

KTA will provide all relevant information and directions to each participant prior to enrolment as part of the participant induction to enable the participant to make informed decisions about undertaking training with KTA. This information will be clear and readily available in print or electronic copy. This will include the KTA Participant Handbook.

KTA will provide the following information specific to each participant:

- Qualification/unit code, unit title and currency of the AQF qualification, skill set or VET course to which the participant is to be enrolled, as published on the National Register the services including the:
  - estimated duration of the training services.
  - expected locations at which the training services will be provided
  - expected modes of delivery.
  - name and contact details of any subcontractor which will provide training and assessment to the participant.
- The participant's obligations, including any KTA requirements to enter and successfully complete their chosen AQF qualification, skill set or VET course.
- Any materials and equipment that the participant must provide
- The educational and support services available to the participant
- Site specific online induction

Where there are any changes to agreed services, KTA will advise the participant in writing and with a follow-up telephone call as soon as practicable, including in relation to any new third-party arrangements or a change in ownership or changes to existing third-party arrangements if applicable.

## **PARTICIPANT SERVICES AND SUPPORT**

### **CLIENT FOCUS**

KTA is committed to delivering high quality services that support participants throughout their training and assessment. This commitment is based on a client focused operation that produces the best possible outcome for participants. KTA will ensure participants are informed of the services they are to receive, their rights and obligations, and the responsibilities of the RTO. Participants who undertake training with KTA receive every opportunity to successfully complete their chosen training program. KTA will provide participants with information prior to commencement of services including any subcontracting arrangements affecting the delivery of training and/or assessment.

KTA takes a systematic approach to establish and recognise the needs of each client. It is a requirement that all staff members do their utmost to meet the needs of participants. Where a participant need is outside the scope or skill of the organisation, they will be referred to an appropriate service or an alternate training organisation.

### **PARTICIPANT ADVICE**

KTA delivers training and assessment services. As such, it is vital that all participants are informed of and understand the extent of the training course that they are enrolling in. KTA has in place a process and mechanism to provide all clients information about the training, assessment, and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.

#### **In summary, KTA will provide:**

- training programs and services that promote inclusion and are free from discrimination
- support services, training, assessment, and training materials to meet the needs of a variety of individual participants.
- consideration of everyone's needs to provide the best opportunity for skill development and attainment of qualifications that can lead to further training or employment.
- opportunity for consultation between staff and participants so that all aspects of individual circumstances can be taken into consideration when planning training programs.
- consideration of the views of participants' community, government agencies and organisations, and industry when planning training programs.
- access to information and course materials in a readily available, easily understood format.
- information to assist participants in planning their pathway from school or the community to vocational education and training.

While KTA guarantees that all participants will receive the full training services paid for, it does not guarantee a participant will successfully complete the course in which they are enrolled or that the participant will obtain a particular employment outcome outside the control of KTA.

KTA will make all reasonable effort and utilise a variety of available methods to assist all participants in their efforts to complete training programs. KTA will determine the support needs of individual participants and provide access to the educational and support services necessary for the individual participant to meet the requirements of the AQF qualification, skill set, or VET course as specified in training packages or VET accredited courses. KTA will continue to develop strategies to make support available where gaps are identified. KTA can be contacted via their website or directly as per below:

Support provided by KTA may include specific details such as:

- what the enrolled participant should do if they want to defer or discontinue their training
- how to access support and assistance during their training (if required)
- contact details for various types of specialised support services e.g., Interpreter services

Trainers are responsible for ensuring that all participants are aware they can contact their trainer or other KTA staff members if they are experiencing difficulties with any aspect of their studies. Staff will ensure participants have access to the full resources of KTA to assist them in achieving the required level of competency in all nationally recognised qualifications.

If a participant is experiencing personal difficulties, training staff will encourage the participant to contact KTA who will provide discreet, personalised, and confidential assistance as according to the nature of the difficulties.

### EMERGENCY SUPPORT

If a participant feels they will harm themselves or others, they are encouraged to call emergency services at 000.

If a participant's needs exceed the capacity of the support services KTA can offer, they will be referred to an appropriate external agency. Extensive information regarding support agencies, resources and services may be sourced online. KTA staff members will assist participants to source the appropriate type and level of support in each participants State depending upon their specific needs.

Some examples of specialist support agencies KTA has engaged include:

	Support Services
Reach Out	Reach Out helps supports people with issues such as drug taking, alcohol, gambling or gaming addiction <a href="http://au.reachout.com/tough-times/addiction">http://au.reachout.com/tough-times/addiction</a> as well as other issues such as surrounding how to cope with stress and depression etc. <a href="http://au.reachout.com">http://au.reachout.com</a>
Counselling Online	Counselling Online is a free 24/7 drug and alcohol counselling service that supports people affected by alcohol and drugs. For any drug and alcohol-related queries there is email support or phone counsellors available. For support in each State contact the National Alcohol and Other Drug Hotline on 1800 250 015 <a href="http://www.counsellingonline.org.au/contact-us">http://www.counsellingonline.org.au/contact-us</a>
Head Space	Headspace is an online and telephone service which supports young people aged between 12- 25 and their families going through a tough time. There is help in person at headspace centres located in each State. Ph: 1800 650 890 <a href="http://www.eheadspace.org.au/contact-us">http://www.eheadspace.org.au/contact-us</a>
Counselling Services	Beyond Blue 1300 224 636 <a href="http://www.beyondblue.org.au">http://www.beyondblue.org.au</a> Lifeline 13 11 14 <a href="http://www.lifeline.org.au">http://www.lifeline.org.au</a>



<b>1800Respect</b>	National Sexual Assault, Domestic Family Violence Counselling Service. 1800 737 732 <a href="https://.1800respect.org.au">https://.1800respect.org.au</a>
<b>Rape and Domestic Violence Services</b>	DVConnect 1800 811 811 24hrs Domestic Violence Helpline
<b>QLife</b>	National LGBTI Telephone Counselling and Information Line. 1800 184 527 <a href="https://qlife.org.au">https://qlife.org.au</a>
<b>Kids Helpline</b>	Telephone Counselling and Support 24/7 800 551 800 <a href="http://www.kidshelpline.com.au">www.kidshelpline.com.au</a>
<b>Menline</b>	Telephone and online counselling 1300 789 978 <a href="http://www.mensline.org.au">http://www.mensline.org.au</a>
<b>Reach Out</b>	Online mental health support for Young People. <a href="https://au.reachout.com">https://au.reachout.com</a>
<b>Head to Health</b>	Wellbeing and mental health services/ resources - <a href="http://www.headtohealth.gov.au">www.headtohealth.gov.au</a>
<b>Reading and Writing Hotline</b>	In addition, there are also numerous adult reading / writing apps for smart phones/tablets aimed at supporting literacy.1300 655 506. <a href="http://www.readingwritinghotline.edu.au/information-and-advice">www.readingwritinghotline.edu.au/information-and-advice</a>
<b>LLND Training Courses provided by local TAFE Colleges</b>	These institutes have specialist LLND Teachers and Services to support individual participants own level of development and can be accessed via a Google Search of local TAFEs and LLND specialist course availability.  TAFE QLD: <a href="http://www.tafeqld.edu.au">www.tafeqld.edu.au</a>  TAFE NSW: <a href="http://www.tafensw.edu.au">www.tafensw.edu.au</a>  TAFE WA: <a href="http://www.tafe.wa.edu.au">www.tafe.wa.edu.au</a>
<b>Homeless and Housing Assistance</b>	Vinnies <a href="http://www.vinnies.org.au">www.vinnies.org.au</a> 1800 846 643  Australian Government Department of Social Services <a href="http://www.dss.gov.au">www.dss.gov.au</a> Services Australia - Australian Government <a href="http://www.servicesaustralia.gov.au">www.servicesaustralia.gov.au</a> 13 28 50.  Queensland Government – Emergency Hardship Assistance <a href="http://www.qld.gov.au">www.qld.gov.au</a> 1800 173 349  Homeless Hotline 1800 474 753  Western Australia Homelessness Services <a href="http://www.wa.gov.au">www.wa.gov.au</a>  Entrypoint Perth – Homelessness assistance - 1800 124 684 <a href="#">Homeless Services &amp; Accommodation in Perth   Entrypoint Perth</a>  NSW Homelessness services Link2home 1800 152 152 <a href="http://www.facs.nsw.gov.au">www.facs.nsw.gov.au</a>

## LET US KNOW SO WE CAN HELP

KTA works closely with industry partners to ensure the right support is offered to all participants. If a participant indicates further support or services are required, KTA will prepare in consultation with the individuals to create a personalised support plan. This support plan will be managed throughout the duration of the learning period to ensure that it is always appropriate, meets the needs of individuals and supports successful. KTA encourages all participants prior to enrolment to let us know if there is anything that may require further individual support.

## **INDIVIDUAL PARTICIPANT SUPPORT PLAN/S**

At KTA we have every intention of determining any further support that participants may require during the enrolment period. However, if participants feel at any time during their training with KTA that they require further support or specific support requirements, they should let us know.

KTA will endeavour to identify support needs and provide solutions to support needs of individuals with support plans. KTA will seek external provider services where required to support these plans.

These support plans include participants working remotely, online, and in the face-to-face delivery model.

KTA will prepare an individual support plan in consultation with participants and consider all solutions and options to best suit the participant, to ensure that they are engaging in learning and progression.

### **Flexible Delivery and Assessment Procedures**

KTA recognises that some people are better suited to learning via teaching methods not usually obtained in the traditional classroom setting. With some minor adjustments to teaching and assessment methods, a participant who is having trouble learning and achieving the desired results in the traditional setting may show considerable improvements with a more customised, flexible delivery approach.

The staff and management of KTA respect these differences among participants and will endeavour to make any necessary adjustments to their methods to meet the needs of a variety of participants. For example, the inability to complete a written assessment will not be interpreted as a sign of incompetence, provided the participant can verbally demonstrate competency.

Acceptable adjustments to teaching and assessment methods may include but are not limited to; having a trainer read assessment materials to participants, having a participant's spoken responses to assessment questions recorded or allowing a participant to sit for an assessment alone in a different room. KTA staff will pursue any reasonable means within their ability to assist participants in achieving the required competency standards. If a participant's needs exceed the capacity of the support services KTA can offer, they will be referred to an appropriate external agency.

### **Reasonable Adjustment**

Reasonable adjustment means adjustments that can be made to the way in which evidence of participant performance can be collected. Whilst reasonable adjustments can be made in terms of the way evidence of performance is gathered, the evidence criteria for making competent/not yet competent decisions (and/or awarding grades) should not be altered in any way. That is, the standards expected should be the same irrespective of the group and/or individual being assessed; otherwise, comparability of standards will be compromised.

## CLOUD ASSESS – LEARNING MANAGEMENT SYSTEM (LMS)



Cloud Assess has everything needed to start learning; it will enable participants and supervisors to:

1. Communicate with trainer/assessors
2. Access learning materials.
3. Upload assessment evidence
4. Complete and submit assessments and training record books
5. Allow workplace supervisors to conduct workplace observations/sign off on workplace activities

### **Access to Cloud Assess**

Once the enrolment and the LLN assessment are finalised participants and appointed workplace supervisors will receive an email from CloudAssess with log on instructions.

The learning management system can be accessed offline by participants and where required workplace supervisors.

Participants are encouraged to access their learning materials anytime, day or night. The LMS offers the flexibility to complete training materials and access current industry specific resources outside of the classroom.

*\* Note for those who are on apprenticeships or traineeships – appointed workplace supervisors will also receive the same instructions to access training record books.*

*\* All participants including approved workplace supervisors will receive introductory emails to log on to CloudAssess*

## TRAINING AND ASSESSMENT

KTA has implemented processes for data collection and analysis within its operations that ensure the continuous improvement of training and assessment. To provide high quality outcomes to their clients and participants, KTA ensures that strategies for training and assessment are developed with effective consultation with industry partners and stakeholders.

It is important to note: all participants undertaking assessment, are responsible for retaining their own copies of all assessment evidence.

## PRINCIPLES OF TRAINING AND ASSESSMENT

Training and assessment strategies developed by KTA will adhere to the following principles:

- Training and assessment strategies are developed for each qualification/unit of competency that will be delivered and assessed.
- All training programs will require the development of a training and assessment strategy for full and partial completion of a qualification.
- Each training and assessment strategy will be developed in consultation with industry representatives, trainers, assessors, and key stakeholders.
- Training and assessment strategies will reflect the requirements of the relevant training package and will identify target groups.
- Training and assessment strategies will be validated annually through the internal review procedures.

KTA will apply the Principles of Assessment and the Rules of Evidence as outlined in detail below:

### Principles of Assessment

To ensure quality outcomes, assessment should be:

- Fair.
- Flexible.
- Valid.
- Reliable.

#### Fair

Fairness in assessment requires consideration of the individual participants needs and characteristics, and any reasonable adjustments that needs to be applied to take account of them. It requires clear communication between the assessor and the participant to ensure that the participant is informed about, understands, and can participate in the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person assessed to challenge the result of the assessment and to be re-assessed if necessary.

#### Flexible

To be flexible, assessment should reflect the participants needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency, and the participant; and support continuous competency development.

## **Valid**

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- Assessment against the units of competency must cover the broad range of skills.
- Knowledge that is essential to achieve a competent performance.
- Assessment of knowledge and skills must be integrated with their practical application.
- Judgement of competence must be based on sufficient evidence (that is, evidence gathered on a numerous occasion and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency.

## **Reliable**

Reliability refers to the degree to which evidence presented for assessment is interpreted and results are consistent with assessment outcomes. Reliability requires the assessor to have the essential competencies in assessment and relevant vocational competencies (or to assess in conjunction with someone who has the vocational competencies). It can only be achieved when assessors share a common interpretation of the assessment requirements of the unit(s) being assessed.

## **Rules of Evidence**

These are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is:

- Valid.
- Sufficient.
- Authentic.
- Current.

## **Valid**

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- Assessment against the units of competency must cover the broad range of skills.
- Knowledge that is essential to achieve a competent performance.
- Assessment of knowledge and skills must be integrated with their practical application.
- Judgement of competence must be based on sufficient evidence (that is, evidence gathered on several occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency.

## **Sufficient**

Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

## **Authentic**

To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the participant's own work.

## **Current**

In assessment, currency relates to the age of the evidence presented by a participant to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence collected must be from either the present or the very recent past.

## **ASSESSMENT POLICY**

KTA acknowledges the critical role that assessment plays in determining the competency of participants. In developing the assessment (including RPL) for each qualification and unit of competence, KTA will ensure:

- Compliance with the assessment guidelines from the relevant training package, qualification, and unit of competence of accredited course.
- Assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF).
- Assessment complies with the principles of competency-based assessment and informs the participant of the purpose and context of the assessment.
- The rules of evidence guide the collection of evidence to support the principles of validity and reliability
- The application of knowledge and skills is relevant to the standard expected in the workplace, including skills for managing work tasks, contingencies, and the job environment.
- Timely and appropriate feedback is given to participants.
- Assessment complies with KTA's access and equity policy.
- All participants have access to re-assessment on appeal.

KTA implements an assessment system that ensures assessment (including Recognition of Prior Learning) complies with the assessment requirements of the relevant training package or VET accredited course. KTA recognises that each unit of competency contains assessment requirements relating to; performance evidence, knowledge evidence and assessment conditions.

It is the responsibility of all Komatsu Training Academy participants to retain evidence of all submitted assessment and associated supporting evidence, this includes but is not limited to:

- Copies of all theory and practical assessment responses.
- Required reports, case studies, observations evidence related to submissions.
- Video or photographic evidence submitted.

### **Training and Assessment feedback**

Participants receive ongoing feedback on submissions of assessment/course work from trainers and assessors.

### **Completion**

Upon successful completion of coursework and provided all fees are paid, a Certificate or Statement of Attainment will be issued within 30 calendar days of assessment decision. This meets the compliance requirements as set for KTA and other RTOs in the Standards for RTOs 2015 and any proceeding standards.

Individual Units, Skills Sets or Non-Accredited Training participants will receive relevant certification that demonstrates successful outcomes, attendance etc.

KTA issues all statement of attainment/s, qualifications, and transcripts via Digital Wallet – Learning Vault. On completion all participants will be invited via email to log in to view their individual documentation.

## CONNECTING TRAINING AND ASSESSMENT WITH INDUSTRY

### Industry Engagement

Komatsu Training Academy recognises the importance of industry engagement in ensuring the relevance of its training and assessment practices. To maximise participant outcomes, Komatsu Training Academy actively seeks opportunities to connect training and assessment with the workplace, and all aspects of its programs are informed by meaningful industry engagement. This engagement is carried out in consultation with industry personnel, and clear responsibilities and expectations are communicated to all involved parties.

To meet a variety of needs, Komatsu Training Academy maintains an ongoing schedule of industry liaison and consultation. These consultations are documented through meetings and memorandums, which are acknowledged by the industry and enterprise representatives involved. This documentation serves as evidence of industry input in the development and ongoing review of assessment strategies.

### Specifically, Komatsu Training Academy:

- Involves industry personnel in the planning of training programs relevant to the training and assessment program.
- Makes full use of opportunities presented by industry to enhance training and assessment.
- Consults with industry personnel to develop of workplace training and assessment processes.
- Monitors the progress of participants to ensure the training aligns with industry requirements.

To accurately record industry consultation, Komatsu Training Academy has developed an Industry Consultation Tool. This tool consists of a series of questions designed to identify the specific needs of stakeholders, such as skills development areas, preferred mode of delivery, assessment methods, and required competencies. This document is shared with key industry stakeholders, and the feedback and information gathered are utilised in the design of the training and assessment strategy for the respective qualification.

Through these practices, Komatsu Training Academy ensures that its training and assessment programs remain relevant to industry needs, and that participants are equipped with the skills and knowledge required for successful employment in their chosen fields.

## ACCESS AND EQUITY

Komatsu Training Academy is fully committed to promoting fairness, equal opportunity, and inclusivity in its practices. The organisation ensures that its policies and operational framework guide all staff members and participants in upholding these principles.

Regardless of factors such as age, gender, cultural or ethnic background, disability, marital status, pregnancy, sexual orientation, carer's responsibilities, socio-economic status, unemployment, imprisonment, remote location, language skills, literacy or numeracy level, or any other perceived differences, Komatsu Training Academy guarantees that all current and potential participants have equal access to its services. No unreasonable barriers will prevent any individual from accessing the training programs offered by Komatsu Training Academy.

Upon joining Komatsu Training Academy, staff members receive copies of the policies related to access and equity, which they must adhere to in all their roles within the organisation. Participants are also informed of their rights to receive access and equity support and are provided with information regarding the policies through the Komatsu Training Academy participant handbook.

Komatsu Training Academy ensures that any participant who meets the entry requirements will be accepted into the training programs. Access and equity matters are considered an integral part of operational duties, and Komatsu Training Academy management is responsible for addressing any concerns or questions regarding access and equity. If any participant or staff member believes they have been treated unfairly or has issues related to access and equity, they will be directed to Komatsu Training Academy management for consultation and resolution.

### **Cultural Respect for Aboriginal participants**

Komatsu Training Academy recognises the importance of providing a culturally appropriate and supportive learning environment for Aboriginal and Torres Strait Islander participants. The organisation acknowledges that certain aspects of training and assessment may require adjustments and sensitivity to meet the specific needs of these participants. These considerations include respecting separate needs relating to men's and women's business, understanding non-verbal communication cues (including silence), addressing literacy and numeracy capacities, and being mindful of using images of deceased persons.

Komatsu Training Academy is committed to conducting an Acknowledgement of Country whenever practical, and particularly during formal and significant events. In cases where there is uncertainty about the traditional owners of the land and the appropriate wording for the acknowledgment, Komatsu Training Academy will seek guidance from the Local Aboriginal Lands Council or other reliable sources. Additionally, during occasions of special significance, Komatsu Training Academy staff and trainers may arrange a Welcome to Country ceremony through the LALC. This may involve inviting a local Elder to perform the ceremony, and appropriate remuneration may be provided as suggested.

By implementing these practices, Komatsu Training Academy aims to create a respectful and inclusive learning environment that acknowledges and values the cultural diversity and traditions of Aboriginal and Torres Strait Islander participants.



## **CODE OF CONDUCT**

### **Participant Responsibilities**

- To engage in a respectful, safe and non descriptive manner during training.
- Must provide and maintain a safe working environment for self and others.
- Be adequately prepared to full participant in training sessions.
- Make every attempt to meet assessment requirements including submission and timelines.
- Use KTA equipment, facilities and IT resources in a responsible and legal manner.
- Meet course requirements including progression.
- Disclose relevant information to ensure KTA can assist and support participants with studies.
- Participate in classroom/delivery environments proactively.
- Request additional assistance or support when needed.
- Advise KTA at earliest opportunity of withdrawal from workplace.
- Commit to providing authentic work completed by participant.

### **Participant Responsibilities**

#### **Komatsu Golden Rules - Health, Safety and Environment**

Participant code of conduct should always incorporate the Komatsu Golden Rules.

- 1.** Isolate all energy sources when required and never remove (without authorisation), damage or misuse an isolation, lockout or tag-out device
- 2.** Use appropriate prevention or fall arrest devices to work at heights or where there is a risk of fall.
- 3.** Enter a confined space or exclusion zone by authorisation only.
- 4.** Operate equipment and vehicles in a safe manner and to conditions, with appropriate licenses and authorisation.
- 5.** Use tooling that is not prohibited, in good condition and fit for purpose.
- 6.** Never work within the fall zone of a suspended load.
- 7.** Properly dispose of hazardous substances and other waste.
- 8.** Behave appropriately at all times and stop inappropriate behaviour or non-compliance to the Golden Rules.

## Personal Protective Equipment (PPE)

It is a requirement for all participants attending Komatsu Academy to adhere to required PPE requirements. All attendees must present with the following:

- All clothing must be in good and clean condition
- High visibility long sleeve shirt with reflective strips
- Long trousers
- Work boots that comply with Australian Standard AS 2210.3:2019
- Clear safety glasses that comply with Australian Standard AS/NZS 1337.1:2010
- Secure long hair
- Remove rings, watches, and all jewellery while working on machinery.

Any further PPE required for specific training purposes will be provided by KTA at the time of delivery

## Academic Misconduct

KTA views plagiarism, contract cheating, cheating and inappropriate use of AI as serious misconduct and individuals will be exposed to disciplinary action.

Providing KTA course or assessment materials to a third-party online platform is serious misconduct.

## Plagiarism

Plagiarism is the "wrongful appropriation" and "purloining and publication" of another author's "language, thoughts, ideas or expressions," and the representation of them as one's own original work.

Plagiarism is considered academic dishonesty and a breach of journalistic ethics. It is subject to serious sanctions such as expulsion. It is quite reasonable to research material while undertaking assessment. All sources, however, must be clearly referenced. KTA's National Training Manager/s takes a very strict approach to plagiarism and proven incidents will not be tolerated.

## Use of Artificial Intelligence (AI)

Participants may not utilise artificial intelligence (AI) chatbots to augment their assessment response. Komatsu Training Academy's assessment system is specifically designed to assess participants **own** understanding and knowledge of the required competencies. Assessment responses should reflect the "transfer of learning" achieved through the training program. Participants are expected to demonstrate their skills and knowledge at the required depth and breadth, aligning with the Australian Qualification Framework (AQF) level, without incorporating AI chatbot assistance.

Komatsu Training Academy has implemented measures to identify any responses that may have been generated by AI. In cases where a questionable response is detected, the Plagiarism Policy outlined in the Komatsu Training Academy participant handbook may be applied. Repeated incidents may lead to the application of the Komatsu Training Academy Discipline Policy. Additional steps to ensure the participants course progress is maintained may also be introduced.

It is crucial to adhere to these guidelines to maintain the integrity of the assessment process and ensure that participants capabilities are accurately assessed based on their own understanding, knowledge, and learning. AI chatbots, including but not limited to: ChatSopt, ChatGPT, Bing Chat, Bard, Jasper Chat, Perplexity, Tidio Lyro, Kommunicate, Drift, Infobip, and Live Person, are examples of AI chatbots that participants may not use.

### **Professional Behaviour**

KTA makes every effort to practice cooperation and mutual respect in all internal and external dealings to uphold high quality, professional training, and assessment services. The same disciplined behaviour is expected of participants as a contribution to a functional learning environment, and as a sign of respect to staff and fellow participants.

KTA Management advises any trainer or staff member who is dissatisfied with the behaviour or performance of a participant that they have the authority to:

- Warn the participant that their behaviour is unsuitable, or
- Ask a participant to leave the class, without refund or acceptance into another course, or
- Immediately cancel the class.

If a participant wishes to object or lodge an appeal against the disciplinary action taken, they have the right and opportunity to follow the KTA complaint procedure.

KTA staff are expected to maintain a professional and ethical working relationship with all other staff members, management, and participants. Breaches of the disciplinary standards will result in discussion between the relevant trainer and KTA, and appropriate action will be taken.

### **Alcohol and Other Drugs (AOD)**

KTA has a zero tolerance for alcohol and other drugs for those in attendance at Academy, and or participating in activities associated with the Academy. This includes the use and sale of alcohol and other drugs.

The following procedures have been adapted from the Komatsu Australia Pty Ltd internal “Alcohol and Other Drugs” procedure. (procedure No: KSS-05-02-0010 VER; 6)

Participants attending Komatsu Training Locations must not:

- (a) Attend work or visit any workplace if adversely affected by alcohol, drugs and/or other substances.
- (b) Operate equipment, and/or drive a Komatsu owned or supplied vehicle while under the influence of alcohol, drugs and/or other substances.
- (c) Consume, possess, or sell drugs and/or other illicit substances at any workplace or in Komatsu owned or supplied vehicles; or
- (d) Consume, possess, or sell drugs and/or other illicit substances while carrying out duties, even if not at a workplace.

### **KTA Alcohol and Other Drugs – Testing Practices**

#### **Random Testing**

Participant are asked to consent to random drug and alcohol testing as a condition of enrolment.

Random testing will be conducted at all KTA locations at a frequency that exposes participants to the likelihood of initial breath alcohol and drug testing at least twice per year.

### **Post Incident / Event testing**

A participant will be screened for alcohol and testable drugs when they are directly involved in a serious incident and/or an event occurs, and their actions or inactions cannot be discounted as a contributing factor. All employees and contractors involved in incidents while operating Komatsu owned vehicles or mobile plant may be subject to drug and alcohol screening, regardless of the severity of the incident.

### **Reasonable suspicion**

Any participant can be tested when their conduct causes a reasonable person to believe that alcohol and/or drugs may be a cause of impairment. Reasonable suspicion testing is based on indicators associated with impairment only. Reasonable suspicion testing is not to be based on a pattern of past conduct, unsatisfactory job performance and/or attendance.

### **AOD Testing Program**

Testing will be conducted in a private area; however, the person being tested may request a support person to be present. The support person must be immediately available and cannot debate the validity of the test, offer legal or other advice, coach a person's response to questions or be present in the immediate area during the time the person being tested is providing a sample (breath, saliva, or urine).

Sampling may be performed by an authorised third-party person, or a Komatsu employee appropriately trained to collect samples of breath or bodily fluids for the purpose of testing for the presence of alcohol and other drugs.

### **Refusal to Test**

Where a person refuses to take part in a drug or alcohol test, the refusal will be treated and managed as a positive result. Where a person is disruptive during testing or is reasonably suspected of tampering with a sample, the behaviour will be treated and managed as a positive result.

### **Alcohol and Other Drugs (AOD)**

#### **MANAGING POSITIVE ALCOHOL AND DRUG TEST RESULTS**

First Confirmed Positive Test Employees will be excluded from the workplace until such time they submit a negative alcohol and/or drug test result prior to returning to the workplace. The employee may choose to take any accrued Annual Leave or Long Service Leave entitlements during this time. The Regional HSE Manager must view evidence that the test is confirmed negative prior to the employee returning to the workplace. If subsequent drug test results indicate that the level of the testable drug has decreased below the prescribed thresholds, those test results will be considered negative, however the employee shall require further testing in accordance with a Drug and Alcohol Management Plan and attend counselling for substance abuse with the Komatsu EAP Provider. A resolution meeting will be held with the employee, their Manager, HR Representative and Regional HSE Manager. The employee may request a support person to attend. The support person must be immediately available and be made aware of the confidential nature of the meeting. An increase in the level of a testable drug during subsequent testing that in the opinion of the treating medical practitioner, is due to the re-use of the drug, will be considered a second positive test.

If a positive test is also associated with acts of misconduct or negligence, other disciplinary action may occur, including the termination of employment based on such acts. Any contractor, sub-contractor or visitor returning a confirmatory reading greater than 0.020 BrAC shall be removed from site, be provided safe transport home, and prohibited from conducting further activity on behalf of Komatsu. Any contractor, sub-contractor or visitor returning a non-negative result of a testable drug shall be excluded from site, be provided safe transport home, and prohibited from conducting further activity on behalf of Komatsu.

Employers will be contacted to make travel arrangements for participants on the date/time of the positive cases.

### **Second Confirmed Positive Test**

A KTA participant returning a second confirmed positive test for alcohol and/or other drugs within 12 months of the first confirmed positive test, may result in termination of their training contact. Where a KTA participant returns a positive confirmed test more than 12 months after the date of the first confirmed positive test, the KTA participant will be stood down, pending an investigation into the circumstances surrounding the positive test, including a review of the previous breaches. If there are no extenuating circumstances, the second confirmed positive breach may result in the termination of their training contract. Where a KTA participant is permitted to return to KTA, a resolution meeting shall be held, and they will do so under a Drug and Alcohol Management Plan and treatment by the Komatsu EAP Provider.

### **Record Keeping for AOD**

All aspects of AOD will be dealt with in the strictest of confidence at KTA. All records and reports will be filed and maintained in accordance with legislative requirements. Participants may request a copy of testing records in writing with KTA to respond within ten (10) working days. All requests should be directed to the National Training Manager.

## **COMPLAINTS AND APPEALS**

Komatsu Training Academy places a strong emphasis on ensuring that every participant learning experience and outcomes meet their satisfaction. The organisation anticipates that any issues or concerns can be resolved through meaningful and respectful communication, which is actively encouraged by Komatsu Training Academy. In the rare event that this resolution isn't achieved, all participants are provided access to comprehensive, fair and prompt complaint and appeals processes. These processes are outlined in the policy and procedures document.

Komatsu Training Academy has established a clear and transparent system for handling complaints and appeals, rooted in the principles of natural justice and fairness. This ensures that participant complaints and appeals are effectively and efficiently addressed. The organisation's complaints and appeals policy are designed to ensure that participants and clients fully comprehend their rights and the responsibilities of Komatsu Training Academy.

Any complaints or appeals that arise are seen as an opportunity for improvement and growth. As part of the continuous improvement process, Komatsu Training Academy reviews all complaints and appeals. If corrective action is identified, it is given top priority and promptly implemented. This proactive approach guarantees that the outcome of the complaints process contributes positively and constructively to the overall operations of Komatsu Training Academy.

## COMPLAINTS

Komatsu Training Academy has established a comprehensive complaint procedure that is open to all individuals who wish to raise a complaint, appeal, or express objections concerning the conduct of Komatsu Training Academy. This procedure is designed to handle both formal and informal complaints.

### Formal and Informal Complaints:

- The procedure covers both formal and informal complaints. Formal complaints must be submitted in writing to KTA management.

### Acknowledgment and Response:

- Upon receiving a formal complaint, Komatsu Training Academy will promptly acknowledge its receipt. The complaint will then be reviewed, and appropriate actions will be taken to address it, including providing a response to the aggrieved person. This response will be provided within five (5) working days of receiving the complaint.

### Complaint Register:

- Komatsu Training Academy's management will maintain a complaint register to document the process and resolution of all formal complaints. This documentation ensures transparency and accountability.

### Continuous Improvement:

- Any complaints substantiated through the complaint procedure will be used to inform Komatsu Training Academy's continuous improvement process. This emphasises the organisation's commitment to learning from complaints and enhancing its operations.

### Responsibility of Management:

- KTA management holds the responsibility of ensuring that the complaint procedure is followed diligently. They are also responsible for assisting participants with understanding the complaint procedure and providing access to complaint forms.

### Scope of Complaints:

- The complaint procedure allows participants to lodge complaints against various entities, including the RTO itself, third parties, subcontractors, other participants, or trainers. Additionally, stakeholders beyond participants, such as trainers, may also raise complaints if they feel aggrieved.

By establishing a well-defined complaint procedure, Komatsu Training Academy demonstrates its dedication to handling complaints and concerns effectively, transparently, and fairly. This process aims to address issues promptly and promote a culture of continuous improvement within the organisation.

## APPEALS

The appeal process at Komatsu Training Academy is designed to address a participant right to request changes to decisions or procedures of an official nature, primarily concerning academic or procedural matters.

### Appeal Against Assessment Decisions:

- If a participant wishes to appeal against specific assessment decisions, the initial step is to discuss the decision(s) with the relevant trainer or assessor and request a re-evaluation. The trainer or assessor will carefully consider the participants appeal, evaluate whether changes are warranted, and communicate their final decision to the participant.

### Escalating the Appeal:

- If the participant remains dissatisfied with the trainer or assessor's decision, they have the right to escalate the appeal to the management team. To initiate this formal appeal, the participant must submit a written notice of appeal using the provided appeals form, addressing it to Komatsu Training Academy for referral to the management team.

#### Submission Deadline:

- The notice of appeal must be submitted within five (5) days of receiving notification of the outcome of the trainer or assessor's re-evaluation process. If the appeal is not submitted within this specified timeframe, the original result will be upheld. In cases of emergency circumstances, such as serious illness or injury, a participant appeal may be deferred. In such instances, a medical certificate supporting the case must be forwarded to management. The notice of deferral must be submitted within three (3) working days from the conclusion date stated on the medical certificate.

#### Management Responsibility:

- The responsibility for ensuring compliance with the appeal procedure lies with KTA management. They are tasked with seeking resolution in reasonable circumstances, which includes assisting and informing participants about the appeal procedure and providing access to appeal forms.

#### Review and Continuous Improvement:

- All appeals will be reviewed during the monthly management meeting. If deemed appropriate, the outcomes of these appeals will be integrated into the continuous improvement process of Komatsu Training Academy.

This appeal process ensures that participants have a mechanism for seeking review and reconsideration of assessment decisions, and it underscores Komatsu Training Academy's commitment to fairness, transparency, and improvement in its educational processes.

### **COMPLAINTS/APEALS PROCEDURE**

All individuals who wish to make a complaint, appeal, or express objections regarding the conduct of Komatsu Training Academy or any third party (including other participants, outsourced trainers, subcontractors, staff, trainers, and assessors) are provided access to the following procedure:

#### Informal Complaint/Appeal:

- An initial complaint or appeal is preferably addressed through direct communication between the participant and Komatsu Training Academy, either verbally or by appropriate means. All individuals involved or affected by the complaint will receive written notification of the complaint's content or allegations. They will be treated with natural justice and procedural fairness in their responses.

KTA management will review the situation, discuss their assessment with the participant, and document the outcome of the complaint or appeal. If a participant remains dissatisfied with Komatsu Training Academy's decision, they have the option to initiate the formal complaint procedure.

#### Formal Complaint/Appeal:

- Typically, formal complaints are considered only after the initial informal complaint or appeal procedure has concluded.

A formal complaint or appeal must be submitted in writing, and KTA management will record the procedure and its outcome in the relevant register. Upon receiving a formal complaint, the CEO or another designated senior management figure not connected to the complaint will acknowledge its receipt in writing as soon as practically possible.

The CEO will convene a complaint committee to address the complaint. The complaint committee will consist of panel members who have had no prior involvement or vested interest in the complaint or appeal's outcome.

#### Panel members include:

- A representative of KTA management
- A staff member from KTA

- An independent person unaffiliated with Komatsu Training Academy

The individual making the complaint or appeal (complainant/appellant) will be given an opportunity to present their case to the committee. They can be accompanied by one support person or representative.

The staff member(s) involved in the matter will also have the chance to present their case to the committee, accompanied by a support person or representative if desired.

The complaint committee will reach a decision on the complaint or appeal after considering all presented cases. This decision will be made as promptly as possible. The committee will communicate the outcome in writing to all parties involved within five (5) working days of reaching a decision.

Unresolved Complaints and Appeals:

- If the complainant remains unsatisfied with the resolution provided through the complaints procedure and exhausts all available steps within the process, they have the option to take their complaint to the Australian Skills Quality Authority (ASQA). The complainant can lodge a written complaint through ASQA's online complaints form.

Individuals have recourse to external avenues if they remain dissatisfied with the outcomes of the internal complaint and appeal processes, promoting fairness and accountability in addressing concerns.

### **Delayed processes**

In circumstances where the complaint or appeal process experiences an unusual delay, requiring more than sixty (60) calendar days to complete, Komatsu Training Academy is committed to maintaining transparency and communication. The following steps will be taken:

Initial Communication:

- Komatsu Training Academy will inform the complainant or appellant in writing regarding the delay as soon as it becomes apparent that additional time is needed. This initial written communication will be sent within five (5) days of recognising the delay.

Regular Updates:

- Following the initial communication, the complainant or appellant will receive regular updates at consistent intervals, outlining the progress of the matter. These updates will also include the reasons necessitating the extended processing time.

### **RESIT PROCESS**

**A resit process is that of obtaining a second attempt at assessment.**

Participants must meet the initial scheduled assessment submission date/s and time/s for first submission.

A “reasonable first attempt” must be submitted to be eligible for a resit.

The associated Trainer or Assessor will determine if a reasonable first attempt is satisfactory and then provide opportunity for a resit of assessment.

Time/s and date/s for resit of assessment, must be to be reasonable and mutually agreed by both parties.

If on occasion a participant fails the second attempt, it is at the discretion of the trainer and assessor and National Training Manager/s to determine if the participant is required to pay and re-enrol in the specific unit of competency or on some occasions the entire qualification.

All participants are encouraged to be aware and responsible for their individual training plans and scheduled training dates.



Participants are also made aware that it is their own responsibility to retain all copies of assessment work, obtained other than under “exam or closed book” conditions, this may be for the purpose of resubmission. Or when further clarification is needed by their trainer/assessor.

All complaints, appeals or resit requests should be sent in the first instance to:

**Attention of Regional Training Manager**

Komatsu Training Academy

Phone: 1300 390 377

Email: [KTA@komatsu.com.au](mailto:KTA@komatsu.com.au)

Where the appellant remains dissatisfied with the outcome of complaints or appeals, the appellant is to be directed to the following external agencies:

- **ASQA:** [www.asqa.gov.au/complaints](http://www.asqa.gov.au/complaints) or [www.asqa.gov.au/report-tipoff](http://www.asqa.gov.au/report-tipoff) -1300 644 844/+61 2 5933 2022 (outside Australia)
- The Office of Fair Trading in relation to consumer protection issues or the Australian Government Fair Work Ombudsman via: <https://www.fairwork.gov.au/>
- The Queensland Ombudsman [www.ombudsman.qld.gov.au](http://www.ombudsman.qld.gov.au)
- The Commonwealth Ombudsman is a free and independent service available to support complains and appeals. [www.ombudsmangov.au](http://www.ombudsmangov.au) 1300 362 072

**Relevant State Departments for Education and Training (for apprentices/trainees).**

- **WA:** Department of Training and Workforce Development - WA: [www.dtwd.wa.gov.au](http://www.dtwd.wa.gov.au)
- **NSW:** Training Services [www.nsw.gov.au](http://www.nsw.gov.au)
- **QLD:** Department of Employment, Small Business and Training. [www.desbt.qld.gov.au](http://www.desbt.qld.gov.au)

## FEE INFORMATION

### Participant Fee Protection

It is the intention of KTA that all participants receive the full training services paid for, including but not limited to training and assessment, assessment only, recognition of prior learning or short courses. The continuous improvement and quality management practices employed by KTA are designed to proactively identify any anomaly that might cause a business interruption or training failure and address this situation before any participants are affected.

The corporate structure, governance and financial management systems and processes guarantee the training for participants enrolled with KTA. This guarantee in no way ensures a successful qualification outcome. KTA will work with the affected participants to ensure their rights are protected. This may include but is not limited to:

- A pro-rata refund of course fees
- Facilitating the transfer of the participant's study to another suitable RTO.

### PROTECTING FEES

KTA will ensure that participants prepaid fees (including enrolment fees, tuition fees, materials fees and any other fee component that is a mandatory payment for the course) are protected in an appropriate manner.

KTA will not collect more than \$1,500 in advance. Where less than \$1,500 is collected prior to the commencement of training or where the total course fee is less than \$1,500, a fee protection process is not required. These fees are paid by/charged to the participant, a government agency, or the participants employer.

### PROTECTING PARTICIPANTS WHO DO NOT PREPAY IN ADVANCE

Where fees are not collected in advance from individual participants i.e., invoice in arrears, KTA will send each client/participant an invoice after training is completed.

### PROTECTING PARTICIPANTS WHERE COURSE FEES ARE MORE THAN \$1,500

The corporate structure, governance and financial management systems and processes guarantee the training for participants enrolled with KTA. Specifically, the integrity, business experience and training expertise of the CEO ensure continuity of training and completion of training is guaranteed for all participants. Participants training is further protected by KTA's financial management policy and procedure. Fees paid in advance are not transferred to the operating account until training commences. KTA does not accept Fee payments from participants in advance.

### THIRD PARTY TRAINING (THIRD PARTY SERVICE ARRANGEMENTS)

Where applicable, KTA's Participant Protection extends to training partners and training conducted by a third party on behalf of the RTO.

**Orbus3** (RTO:40761) for the delivery of training and/or assessment for RII30820 Certificate III in Civil Construction in Plant Operations in NSW. This will be workplace and mixed mode delivery.

**\*(NSW Smart & Skilled approval number associated with this agreement is: TMD 337982 027)**

**My Blue-Collar Coach** delivers RPL services for AUR31220 in Mobile Plant Technology.

## FEES AND CHARGES

KTA operates as a 'fee for service with training contracts with the following states: Queensland, New South Wales and Western Australia. This means all training programs will attract fees. All fees will be paid in accordance with the fee structure unless prior arrangements are made with KTA management.

Fee information is available via:

- KTA website links.
- Direct email from KTA administration team.
- Enrolment pack/documentation – (requires fee schedule to be read and signed off)

Each of these information streams clearly identifies all fees and charges, including optional charges such as Recognition of Prior Learning (RPL) fees, and will be updated regularly so that both KTA and our clients will be protected.

KTA will provide the following fee information, to each participant:

- The total amount of all fees including course fees, administration fees, materials (textbook) fees, and any other charges (fee schedule).
- Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee.
- The nature of the Participant Protection offered by the RTO to complete the training and/or assessment once the participant has commenced study in their chosen qualification or course.
- The fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to participants who are deemed not yet competent on completion of training and assessment and
- The RTO's refund policy.

## FEE STRUCTURE

### FEE FOR SERVICE PARTICIPANTS – QUALIFICATIONS

Each qualification offered by KTA has a specific course fee. The course fee is the maximum fee that may be charged to the participant for their selected training program.

Our policy of a staged, with a commencement and completion payment schedule, this is intended to provide fair and equitable training and assessment services. The participant will pay for training and assessment services as they are provided. It is KTA's policy that the course fee will be *all-inclusive*. Participants will not be 'surprised' by unexpected requirements, fees, or expenses.

Where additional resources normally associated with a program of study are required (for example, reference material, research documents, own computer) participants will be clearly advised of exactly what is required in the participant study guide for that program.

### Payment Schedule – Qualifications

KTA's policy is to make taking part in quality training and assessment accessible and affordable. Our payment schedule/s asks participants to make a commencement and completion payment of no more than \$1500. As a simple and obvious means to keep track of the participant's payments, the payment schedule is confirmed with participants at the time of enrolment for fee for services programs/training.

For specific information relating to fees for individual State contracts (e.g., QLD/NSW/WA) please refer to the further detail and relevant government weblinks in the oncoming pages under Apprenticeships and Traineeship Contracts or KTA website where current fee schedule pertaining to individual states will be published and updated. Fee schedules for those enrolling in funded training either state or federally will be provided with individual fee schedules at enrolment.

Schedules of Fees are kept current and available at the Komatsu Training Academy website: [www.komatsu.com.au/support/komatsu-training-academy/training-documents](http://www.komatsu.com.au/support/komatsu-training-academy/training-documents)

### **Payment in Advance - RPL**

Participants will be asked to pay \$1500 in advance to confirm their enrolment into the course.

KTA has developed a payment schedule that extends across the duration of the training program.

- a total of 2 payments will be scheduled upon enrolment and on completion.

### **Recognition of Prior Learning (RPL)**

**\$3000**

KTA develop a payment schedule for RPL that will not ask for more than \$1500 at any time prior to the service being delivered.

- RPL enrolment and application completed **\$1500**
- RPL applicant collates, prepares and submits RPL evidence
- Assessor assesses the evidence provides feedback
- RPL assessment is completed and (where applicable) certification issues **\$1500**

*(RPL value provided in the above example may not be indicative of RPL costs at KTA, exact costs should be sought if RPL services are required).*

To ensure fluid and seamless administration, KTA will discuss a payment option with the participant/employer/organisation.

They may choose:

- Schedule credit card payment/s.
- EFT transfer.

\*Please note KTA does not accept cash payments.

After paying \$500 in advance to secure their place, participants will be asked to make a payment on the first scheduled face to face training day.

At this point the participants will have:

- Completed LLN assessment
- Completed the Enrolment Form
- Provided their USI
- Received their Pre-Course Letter.
- Site induction online (if applicable)

The participants will be provided with:

- The first training day of the course, online induction etc
- Learning management system (LMS)- CloudAssess login details
- Learning and assessment materials
- participant study schedule

- other relevant support materials.

The payment schedule used by KTA ensures participants receive the training and assessment services they have paid for.

Some KTA programs will require participants to purchase textbooks, which participants will retain.

## **CORPORATE CLIENTS – QUALIFICATIONS**

### **Payment**

KTA operates with several corporate clients in the mining and construction industries. This means the employer or agency will manage the payment in negotiation with KTA. The payment schedule for corporate clients will be invoiced in arrears.

### **Fee for Service – Short Courses**

Each short course or Technical Course (non-accredited) offered by KTA has a specific course fee.

The course fee is the maximum fee that may be charged to the participant for their selected training program. These fees will be discussed with individuals/employer/organisations at the time of enrolment, and all parties will be advised of their course fees prior to enrolment.

It is KTA's policy that the course fee will be *all-inclusive*. Participants will not be 'surprised' by unexpected requirements, fees, or expenses.

Participants will be asked to pay for their nominated course fee upon enrolment. This payment confirms their enrolment into the course. If participants cancel from a course prior to the course commencing KTA's refund policy & procedure will apply.

## **OTHER FEES**

### **Partial Completion - Statement of Attainment**

No fee applies to produce a statement of attainment when the participant has partially completed the training program and must withdraw. Statements of attainment will be issued to participants via the digital wallet.

### **Re-print Certification**

Re-print fee = \$25.00 per statement of attainment or Qualification certificate.

Participants may make payments to KTA by any of the following means:

- Credit card (MasterCard and VISA only).
- EFT direct deposit.

*\*Please note KTA does not accept cash payments.*

### **GST**

All Nationally Recognised Qualifications, Accredited Courses and Units of Competency delivered by KTA are GST-Free in accordance with the Australian Taxation Office GST Rulings GSTR 2000/27, GSTR 2001/1 and GSTR 2003/1.

### **Payment Receipts**

A tax invoice/receipt will be issued for all payments.

## Refunds

KTA will protect fees paid in advance and has a fair and reasonable refund policy.

Information provided prior to enrolment or the commencement of training and assessment, whichever comes first, specifies the participants' rights as a consumer, including but not limited to any statutory cooling-off period (where applicable) and the participants right to obtain a refund for services not provided by the KTA in the event the:

- Arrangement is terminated early, or
- KTA fails to provide the agreed services.

## Fee For Service (FFS) Refund

### Prior to Commencing Training – Qualifications and Short Courses

An application for a refund is addressed according to the amount of notice given by the person making the request:

- 14 days prior to the commencement of the course – 100% refund.
- Less than 13 days prior to the commencement of the course – 50% refund.
- Withdrawal during the course – no refund. A pro-rata credit is available, so the participant can complete the course at a later arranged date.

## Corporate Clients

Any refund of course fees will be negotiated between KTA and the employer or agency. A fair and equitable refund policy will apply.

Applications for refunds should be made in writing, a refund request form is available, a request for a refund should be sent to:

Komatsu Training Academy

Phone: 1300 390 377

Email: [KTA@komatsu.com.au](mailto:KTA@komatsu.com.au)

## APPRENTICESHIP AND TRAINEESHIP STATE CONTRACT INFORMATION

KTA recognises that Apprenticeships and Traineeships are the perfect vehicle for training and developing new and existing staff. Because much of the training is in the workplace, the skills an Apprentice or Trainee acquires are customised to the specific needs of an organisation.

Funding for apprenticeships and traineeships differs from state to state in Australia.

The following information has been provided to inform participants of the relevant funding bodies, and every attempt has been made to ensure currency at the time of print.

## QUEENSLAND

### SKILLS ASSURE SUPPLIER (SAS) AGREEMENT - USER CHOICE

KTA provides nationally recognised training qualifications in Queensland for apprenticeships and is currently an approved PQS supplier. under a Skills Assure Supplier Agreement (User Choice contract) with the Department of Employment, Small Business and Training (DESBT). Komatsu services the construction, transport and mining industries providing flexible, timely and efficient training packages in mobile plant and civil construction.

**The Skills Assure Supplier (SAS) program provides a public funding contribution towards the cost of training and assessment for eligible apprentices and trainees.** In most cases the Queensland Government meets the cost of training; this means that neither the employer nor the apprentice pays for the training component of the Apprenticeship or Traineeship. However, you may be required to pay a minimal participant contribution fee determined on an individual basis.

#### **Student 'Co-Contribution' Fees:**

This varies depending upon the qualification and the chosen electives. Employers may choose to cover this cost on behalf of their employees. This will be clearly identified by KTA at the time of enrolment and agreed to in writing as to who will be paying the fees, when the fees due and how they are calculated. This amount is set by DESBT and KTA cannot change this amount.

Current fee schedules are available at: [www.komatsu.com.au/support/komatsu-training-academy](http://www.komatsu.com.au/support/komatsu-training-academy)



## WESTERN AUSTRALIA

### Jobs and Skills WA Contractual Agreement with Department of Training & Workplace Development

KTA provides nationally recognised training programs in Western Australia for Apprenticeships and Traineeships under a Department of Training and Workforce Development (DTWD).

*Please note: "The student tuition fees are indicative only and are subject to change given individual circumstances at enrolment. Additional fees may apply such as student service and resource fees"*

#### Employer Contribution Fees:

This varies depending upon the qualification and the chosen electives. Employers may choose to cover this cost on behalf of their employees. This will be clearly identified by KTA at the time of enrolment and agreed to in writing as to who will be paying the fees, when the fees due and how they are calculated. This amount is set by DTWD and KTA cannot change this amount.

Current fee schedules are available at:

For further information please refer to the following links: [www.komatsu.com.au/support/komatsu-training-academy](http://www.komatsu.com.au/support/komatsu-training-academy)

- [Participant Eligibility Criteria](#)
- [Course Finder - Fee Arrangements; How to Enrol; Support for Disadvantaged Students; Apprenticeships and Traineeships; Consumer Protection; Recognising Skills](#)
- [NSW Government Fee Free Apprenticeship Initiative Strategy](#)
- [Find a Course - Search for NSW Government Subsidised Training](#)
- [Frequently asked Questions for Students re: Fee Free Apprenticeships](#)
- [State and Commonwealth funding information and other forms of assistance for Apprentice Employers](#)
- [Information on Financial Help available for eligible NSW Employers and Apprentices](#)





## NEW SOUTH WALES

### Smart & Skilled Entitlement Apprenticeship Program Agreement with Training Services NSW

KTA provides nationally recognised training packages with Training Services NSW for Komatsu services in the construction, transport and mining industries providing flexible, timely and efficient training packages in mobile plant and civil construction Apprenticeships as listed below under the NSW Smart & Skilled Entitlement EA Apprenticeship Program. **\*Please note: This training is subsidised by the NSW Government.**

All KTA NSW Smart & Skilled Approved Apprenticeships are “Fee - Free Apprenticeship” therefore there are no Student Contribution Fees. Under the NSW government fee-free apprenticeship initiative, NSW apprentices that commence their training on or after 1 July 2018 may be eligible for fee-free training (first post school qualification). For eligible apprentices there will be no requirement to pay the fee. For further information please refer to the following website: <https://www.nsw.gov.au/education-and-training/apprentices-and-trainees>

#### Third Party Training (Third Party Service Arrangements)

Where applicable, KTA’s Participant Protection extends to training partners and training conducted by a third party on behalf of the RTO. Please note that KTA currently has an approved subcontracting Third Party Service Arrangements in place in NSW (as registered with ASQA) with Orbus3 (RTO 40761) for the delivery of training and/or assessment (only) for RII30820 Certificate III in Civil Construction in Plant Operations. This will be workplace and mixed mode delivery with **Orbus3**, and services provided by **My Blue-Collar Coach**.



## RECORD KEEPING PROCEDURES

This section emphasises the significance of establishing well-structured and efficient processes in the routine and technical aspects of Komatsu Training Academy's operations. While these processes may seem routine, they are the foundation for the organisation's sustainability and compliance. Komatsu Training Academy's management acknowledges that robust systems in these areas not only enable smooth day-to-day operations but also ensure adherence to registration requirements and meet stakeholders' expectations.

This section includes:

Efficiency and Compliance:

- Komatsu Training Academy recognises that implementing sound processes leads to efficient operations that align with compliance requirements. These processes contribute to the organisation's ability to consistently deliver quality services and education.

Transparency and Accountability:

- The rigorous systems maintained by Komatsu Training Academy not only support efficiency but also enable transparency and accountability. This transparency is vital for building trust with stakeholders, including participants, staff, regulatory bodies, and the wider community.

Record Management:

- Effective management of records is essential for maintaining accurate and up-to-date documentation. Identifies various types of records, including qualifications, assessment resources, completed assessments, assessment results, participant files, management records, and administrative records.

Qualifications and Assessments:

- Komatsu Training Academy's focus on maintaining records related to qualifications and assessments ensures the accuracy and credibility of its offerings. Comprehensive records support the organisation's ability to verify qualifications and provide evidence of compliance during audits.

Management Records:

- The inclusion of policies, procedures, templates, and registers in management records underscores the importance of documented processes. These records guide operations, ensure consistency, and provide a reference point for continuous improvement efforts.

Transparency through Correspondence:

- Komatsu Training Academy acknowledges the significance of maintaining administrative records, including email and other correspondence. These records contribute to transparent communication and decision-making processes.

Maintaining rigorous systems that facilitate efficient operations, compliance, transparency, and accountability ensures effective record keeping. It reinforces the importance of proper record-keeping and process documentation, which ultimately contribute to Komatsu Training Academy's ability to meet the needs and expectations of all stakeholders.

A comprehensive approach to quality administrative and records management, emphasising the importance of accuracy, integrity, currency, and confidentiality in maintaining records.

The processes outlined ensure compliance with regulatory requirements and industry standards, contributing to the organisation's quality assurance efforts. The emphasis on routine audits and secure storage confirms Komatsu Training Academy's continuous improvement processes.

### AVETMISS Reporting

Under the VET Quality Framework, the Data Provision Requirements are a separate legislative instrument governed by the National Vocational Education and Training Regulator Act 2011. These requirements pertain to the collection and reporting of registration and performance information, including quality indicator data and data derived from the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS).

AVETMISS is the national data standard for VET providers in Australia. It ensures consistent and accurate capturing of VET information related to participants, courses, units of activity, and completed qualifications. AVETMISS facilitates national reporting of the VET system and provides comprehensive insights into various aspects of VET participants, such as demographics, study locations, course enrolments, outcomes, and funding sources.

As per the Standards for RTOs 2015, all RTOs are now required to collect and report AVETMISS data. Komatsu Training Academy must adhere to the following obligations:

- Obtain full AVETMISS data in accordance with the requirements specified in the National VET Provider Collection Data Requirements Policy, subject to any applicable exemptions.
- Submit AVETMISS-compliant data as per the specifications outlined in the National VET Provider Collection Data Requirements Policy, subject to any applicable exemptions.
- Comply with any additional data provision requirements specified by the National VET Provider Collection Data Requirements.

Komatsu Training Academy is responsible for submitting AVETMISS-compliant data for all nationally recognised training where it is the issuing RTO for qualifications or statements of attainment. These reporting requirements align with [ASQA's Total VET activity reporting](#) guidelines. The data collection period spans 12 months of the calendar year, with the report submitted to the [National Centre for Vocational Education Research \(NCVER\)](#) in February of the following year.

### **Access to Records**

Access to participant training records is in accordance with the Standards for RTOs 2015. Trainers and assessors have access to update records of the participant they are working with. Management staff can access records for efficient business operation. ASQA or their representatives can access records as required for compliance.

Trainers and Assessors' Responsibilities:

- Trainers and assessors are responsible for maintaining accurate and up-to-date records of each participants progress and achievements. Records are entered into the Komatsu Training Academy database system during or immediately after training and assessment.

Competencies achieved by participant are checked against qualification packaging rules and signed off by trainers/assessors.

Completion of Qualifications:

- Once participants complete all relevant competencies within a qualification, they are entitled to receive the full qualification. Certificates, academic records, and statements of attainment are produced, signed by relevant parties, and presented to participants. Scanned electronic copies of signed qualifications are converted to PDF format and securely stored in participant files. Testamurs can be reprinted (including the original date and signature) accurately upon request within the thirty-year period after issuance, ensuring authenticity and compliance.

Applying a systematic approach to record-keeping, ensuring that participants progress, and achievements are accurately documented and accessible by authorised personnel underlines the organisation's dedication to compliance and the secure management of participant data.

### **Access to Participant Records**

Participants have the right to request information about or access to their individual records. Trainers, assessors, or administration staff will provide the requested information or access. Participants can request a hardcopy of their individual file, which can be printed from the records within the data management system.

### **Supporting Participant Requests**

Komatsu Training Academy ensures participants are comfortable asking for their progress information. Participants can approach any trainer, assessor, or administration staff at any time to request a printout of their progress.

### **Privacy**

Komatsu Training Academy places a high standard of care on maintaining participant privacy across all business operations, including administrative activities and training and assessment. External individuals acting on behalf of Komatsu Training Academy are informed of confidentiality procedures and privacy policies before starting work.

Compliance with Privacy Laws:

- Komatsu Training Academy commits to complying with legislative requirements, including the Privacy Act 1988 (Commonwealth) and the Australian Privacy Principles (APP) (2014). Detailed explanations of these legislative requirements are provided in the Legislation section of the manual.

Disclosure of Participant Information:

- Komatsu Training Academy ensures that no participant information is disclosed without the participants consent, except as required by law or in adherence to the Standards for RTOs 2015. Written consent from the participant is normally obtained for disclosure of information via the enrolment form. If the participant is under 18 years old, written consent from their parent or guardian is obtained. Consent forms and letters are documented for reference.

Marketing Communications:

- Individuals' rights to opt out of receiving marketing material are observed. Komatsu Training Academy provides options for unsubscribing from marketing communications on its website and within communications. Marketing communications are conducted following relevant regulations such as Australian Privacy Principle 7 (Direct marketing), the Spam Act 2003 for electronic communications, and the Do Not Call Register Act 2006.

### **Security**

A comprehensive approach to securing, managing, and maintaining records, demonstrating a strong commitment to compliance, data security, and long-term accessibility. The organisation's practices align with industry standards and best practices to ensure the integrity and confidentiality of participant and organisational data.

### **Destruction of Records**

The CEO of Komatsu Training Academy is the sole authorised person to approve the destruction of records. Records can only be destroyed after the specified retention period has passed. Authorisation for destruction must be provided in writing. Documents identified for destruction are to be shredded, ensuring the secure disposal of sensitive information.

### **Ceasing Operation**

If Komatsu Training Academy ceases operations, records will be transferred to ASQA as per the Department's specifications at the time of closure. This transfer ensures that necessary records are maintained and accessible even after the organisation's operations cease.

#### Confidential Information Security:

- Confidential information obtained by Komatsu Training Academy, its individuals, committees, or affiliated organisations will be securely stored. This underscores Komatsu Training Academy's commitment to protecting sensitive and confidential information throughout its operations.

## PRIVACY

KTA considers participant privacy to be of utmost importance and will practice a high standard of care and concern regarding maintaining participant privacy in all aspects of business operations. Any persons external to the organisation acting on behalf of KTA are made aware of the confidentiality procedures and privacy policies prior to commencing work with KTA.

KTA will comply with all legislative requirements including the Privacy Act 1988 (Commonwealth) and the Australian Privacy Principles (2014). Further information can be found by contacting the Office of the Australian Information Commissioner on 1300 363 992 or via: [www.directory.gov.au](http://www.directory.gov.au)

KTA ensures no participant information is disclosed without the participants consent, except as required by law or in adherence to the Standards for RTOs. Participant consent must be obtained in writing from the participant, unless the participant is under the age of 18 years, in which case written consent from their parent or guardian must be obtained. Consent to disclosure of information forms and/or letters will be recorded.

Under the Data Provision Requirements 2012, KTA is required to collect personal information about participants and to disclose that personal information to the National Centre for Vocational Education Research Ltd (NCVER). NCVER will collect, hold, use and disclose your personal information in accordance with the Privacy Act 1988 (Cth), the National VET Data Policy (which took effect nationally from 1<sup>st</sup> Jan 2018 by the Department of Education), and all NCVER policies and protocols (including those published on NCVER's website at [www.ncver.edu.au](http://www.ncver.edu.au)). For more information about NCVER's Privacy Policy go to NCVER Privacy Policy Information

Your personal information is managed in line with the relevant Australian State and Territory Privacy Notice Legislation. Refer to links below:

- National – Privacy Act 1988 – [www.oaic.gov.au](http://www.oaic.gov.au)
- QLD – Information Privacy Act 2009 (QLD) – [www.legislation.qld.gov.au](http://www.legislation.qld.gov.au)
- NSW – Privacy and Personal Information Protection Act 1998 No 133 (NSW) – [www.legislation.nsw.gov.au](http://www.legislation.nsw.gov.au)
- WA – Freedom of Information Act 1992 (WA) – [www.wa.gov.au](http://www.wa.gov.au)

## SECURITY

KTA ensures further security of records by complying with the storage requirements detailed in ASQA's General directive: *Retention Requirements for Completed Participant Assessment Items, 22 June 2012 (amended 20<sup>th</sup> Feb 2013)*. This directive includes requirements for storage including: safeguards against unauthorised access, fire, flood, termites, or any other pests, and to ensure that copies of records can be produced if the originals are destroyed or inaccessible. KTA enhances its compliance with this directive by protecting electronic files with up-to-date virus protection, firewall and spy ware protection software.

The Data Management System is Cloud based and offers the security and integrity expected of a reputable storage system.

## LEGISLATIVE REQUIREMENTS

Registered training organisations are subject to legislation pertaining to training and assessment, as well as business practice. KTA will comply with relevant legislation and regulatory requirements and will inform all staff and clients of the requirements that affect their duties or participation in vocational education and training. KTA recognises that compliance with legislative requirements underpins the effective implementation of its operations and ensures accountability and transparency of activities of both management and staff.

## CURRENT LEGISLATION

Current legislation is available online at: <http://austlii.edu.au> and <http://legislation.gov.au>.

Examples of legislation relevant to VET Sector, its staff and participants includes but is not limited to:

### **Commonwealth Legislation:**

- Copyright Act 1968
- Commonwealth Privacy Act 1988 / Privacy Amendment (Notifiable Data Breaches) Act 2017 / Privacy Regulation 2013 / Australian Privacy Principles 2014
- Freedom of Information Act (FOI) 1982
- Modern Slavery Act 2018 (released 01.01.19)
- Commonwealth Discrimination Acts: Sex Discrimination 1984 / Disability Discrimination 1992 / Age Discrimination 2004 / Commonwealth Racial Hatred Act 1995
- Competition and Consumer Act 2010
- Legislation Act 2001
- Student Identifier Act 2014
- National Vocational Education and Training Regulator Act 2011 which includes the following:
  - Standards for registered Training Organisations 2015 (currently under review\_ Feb2024)
  - Data Provision Requirements 2012
  - Standards for VET Regulators 2015
  - Standards for VET Accredited Courses 2012

### **VET Training Authorities/Regulators:**

- National VET Regulator (NVR) - Australian Skills Quality Authority
- Australian Skills Quality Authority (ASQA) [www.asqa.gov.au](http://www.asqa.gov.au)
- Australian Government: Department of Education / Department of Education, Skills & Employment [www.education.gov.au](http://www.education.gov.au) / [www.employment.gov.au](http://www.employment.gov.au)

### **QLD Legislation:**

VET Specific Legislation is available from the: **Department of Employment, Small Business and Training (DESBT)** [www.desbt.qld.gov.au](http://www.desbt.qld.gov.au)

- Further Education and Training Act and Regulations 2014
- Vocational Education, Training and Employment Act and Regulations 2000
- Work Commission for Children and Young People and Child Guardian Act 2000
- Anti-Discrimination Act 1991 / Disability Services Act 2006
- Human Rights Act 2019

- Work Health and Safety Act and Regulations 2011

### **WA Legislation**

VET Specific Legislation is available from: **Department of Training and Workforce Development (DTWD)**  
[www.wa.gov.au/organisation/department-of-training-and-workforce-development/legislation-policy-and-guidelines](http://www.wa.gov.au/organisation/department-of-training-and-workforce-development/legislation-policy-and-guidelines)

- Vocational Education and Training Act 1996 (the VET Act)
- Vocational Education and Training (General) Regulations 2009
- Work Health and Safety Act 2020
- Work Health and Safety (General) Regulations 2022

### **NSW Legislation**

VET Specific Legislation is available from: **Training Services NSW**  
[www.nsw.gov.au/education-and-training/apprentices-and-trainees/employers/step-by-step-guide](http://www.nsw.gov.au/education-and-training/apprentices-and-trainees/employers/step-by-step-guide)

- Apprenticeship and Traineeship Act 200.
- Apprenticeship and Traineeship Regulation 2017.
- Work Health and Safety Act 2011.
- Work Health and Safety Regulations 2017.

## **KTA LEGISLATION IMPLEMENTATION**

### **WORK, HEALTH AND SAFETY POLICY**

The Work Health and Safety Act 2011 outlines the requirements of an RTO in establishing and maintaining workplace health and safety standards. The requirements of an RTO as specified in the Act are to:

- Secure the health, safety and welfare of employees and other persons at work
- Eliminate, at the source, risks to health, safety or welfare of employees and other persons at work
- Ensure that the health and safety of members of the public is not placed at risk by the conduct of undertakings by employers and self-employed persons
- Provide for the involvement of employees, employers, and organisations representing those persons, in the formulation and implementation of health, safety and welfare standards

It is an obligation under legislation that all KTA employees and management contribute to and assist in maintaining workplace health and safety and risk management operations as part of their role within the RTO. KTA management is responsible for providing the following standards as part of its commitment to employees and clients:

- A safe workplace, with a safe system of work.
- Adequate workplace health and safety professional development for KTA participants, employees, management, and stakeholders.
- Properly maintained facilities and equipment.
- A clean, tidy, suitably designed workplace with the safe storage of goods.

KTA has initiated procedures, policies, guidelines, and work instructions, practicing an ongoing commitment to workplace health and safety including each site used for training delivery.

The following procedures and standards are observed by KTA to achieve a safe working and learning environment:

- Maintain a safe, clean, and efficient working environment
- Evacuation plan (fire, bomb, major incident)
- Emergency control
- Accident/incident reporting
- Rehabilitation
- Risk identification reporting
- PPE/chemicals (storage)
- Manual handling techniques and training
- Store and dispose of waste according to WHS regulations
- Equipment checks and maintenance
- Equipment safe storage
- Fire hazards identified and fire prevention
- Participant safety
- Unsafe situations identified and reported
- First aid and safety procedures displayed, for all KTA staff and participants to see

### Harassment and Discrimination Policy

Under Australian law it is a requirement of every workplace to ensure it provides an environment free from all forms of harassment and discrimination, including victimisation and bullying. In doing so, all staff and participants are treated fairly and feel safe, valued, and respected.

**Discrimination** is where a person treats or proposes to treat, a person with an attribute less favourably than another person without the attribute is or would be treated under the same circumstances. Examples include but are not limited to discrimination by age, disability, employment, nationality, religion, gender, and sexual orientation.

**Harassment** is any unwelcome and uninvited comment or action that results in a person being intimidated, offended, humiliated, or embarrassed.

**Bullying** is any unwelcome and offensive behaviour that intimidates, humiliates and/or undermines a person or group. Bullying involves a persistent pattern of behaviour over a period of time and may include verbal abuse, physical assault, unjustified criticism, sarcasm, insults, spreading false or malicious rumours, isolating, or ignoring a person, putting people under unnecessary pressure and sabotaging someone's work or their ability to complete their work.

At KTA it is made known that if a person considers that they have been or is being harassed, this person should be encouraged to inform the other party that their behaviour is objectionable and should not be continued, provided they are comfortable with confronting the offender. In instances where the person is not comfortable discussing the matter with the offending party, a trainer or other KTA staff member should be informed of the situation. In this case it becomes the responsibility of the relevant staff member to follow KTA policy and procedures to rectify the situation.

The following principles and processes are implemented by KTA to achieve a working and learning environment that is free from harassment and discrimination:



- It is the right of all staff and participants to work and study in an environment free of any form of harassment and discrimination
- All reports of harassment and discrimination will be treated seriously, in an unbiased, respectful, and sensitive manner. Any form of harassment and discrimination is considered unacceptable behaviour and will not be tolerated by KTA
- When KTA management is informed of any event involving harassment or discrimination, it is their responsibility to take immediate and appropriate action to address it
- In dealing with all complaints, the rights of all individuals involved should be respected and confidentiality should be maintained
- It is the intention of KTA management that a process of discussion, cooperation and conciliation will resolve all complaints. The aim is to achieve an acceptable outcome for the involved parties while minimising any potential damage to the organisation
- Both the person making the complaint and the person against whom the complaint has been made will receive information, support, and assistance in resolving the issue from KTA management
- Victimisation is unacceptable and will not be tolerated; no person making a complaint or assisting in the investigation of a complaint should be victimised
- Harassment or discrimination should not be confused with legitimate comment and advice (including constructive feedback) given appropriately by management or trainers. Managers and trainers should be conscious of how they present their feedback to ensure the message is not misinterpreted
- Staff and participants should not make any frivolous or malicious complaints. All staff and participants are expected to participate in the complaint resolution process in confidence that the procedures are designed to ensure fair resolution

### Working with Persons Under 18 Years of Age

There is no single national framework setting out the requirements for obtaining Working with Children Checks or Police Checks. Each state and territory have their own procedures and it is necessary to fulfil the requirements in the jurisdiction(s) in which you are working. Relevant legislation and state and territory screening programs that operate in Australia are explained in

[Information on Pre-Employment Screening - Working with Children Checks and Police Checks](#)

In **Queensland**, the *Working with Children Check (Risk Management and Screening) Act 2000 (Qld)* applies. Individuals are required to apply for a working with children check known as a “Blue Card.” Recent changes in QLD Blue Card system which will come into effect on 31<sup>st</sup> August 2020 mean has meant ‘No Card, No Start’ so you need to renew your blue card before it expires for you to keep working with children under 18 years old. Further information can be found by accessing: [Laws and Regulations relating to the issuance of Blue Cards in QLD - No Card No Start](#)

In **Western Australia**, the *Working with Children (Criminal Record Checking) Act 2004 WA* applies. Individuals are required to apply for a working with children check known as a “Working with Children Check Card.”

In **NSW**, the *Child Protection (Working with Children) Amendment (Statutory Review) Act 2018 NSW* applies. Individuals are required to apply for a child protection check known as a “Working with Children Check Card” and are also legally required to update contact details, within three months.

Participants under 18 years of age may enrol with KTA. According to the law, a child is considered any individual less than 18 years of age.

KTA management recommend that all staff obtain the appropriate pre-employment screening which is mandatory in those cases where staff are required to train children. Information regarding Police checks and Working with Children Checks is available on the Australian Institute of Family Studies at <https://aifs.gov.au>.

KTA will ensure that all participants are protected from all forms of harm, including bullying, harassment, discrimination, and intimidation. All staff are required to report to KTA management any behaviour that can reasonably be considered harmful or potentially harmful to participants, or where it is reasonable to believe that a participant has been harmed or requires protection from harm.

In cases where allegations or information indicate it is reasonable to believe a participant has suffered from or may require protection from harm, KTA will report to situation the relevant authorities. Consumer Rights

#### **Consumer protection**

On 1 January 2011, the Australian Consumer Law commenced and the Trade Practices Act 1974 was repealed and replaced by the Competition and Consumer Act 2010. The Australian Consumer Law provides for:

- National Consumer Protection and Fair-Trading Laws
- Enhanced Enforcement Powers and Redress Mechanisms
- A National Unfair Contract Terms Law
- A new National Product Safety Regime
- A new National Consumer Guarantees Law

#### **Contractual Agreement**

Participants who enrol in a training program with KTA should be aware that they are entering into a contractual agreement. With a view to ensuring all participants are fully aware of their rights and obligations, KTA will design agreements, enrolment forms, service agreements or similar using a logical format and simple English. This may include, but is not limited to:

- Wording that allows the perspective participant to know what he/she is agreeing to
- Clearly explained disclaimers
- No misleading or deceptive behaviour
- No actions, omissions, or dialogue (written or verbal) that may force or coerce the participant
- Fair dealings for disadvantaged participants

#### **Privacy Principles**

The *Privacy Amendment (Enhancing Privacy Protection) Act 2012* (Privacy Amendment Act) made many significant changes to the *Privacy Act 1988* (Privacy Act). These changes commenced on 12 March 2014. The Privacy Regulation 2013, made under the Privacy Act, also commenced on 12 March 2014.

The **Australian Privacy Principles** that are strictly applied to all aspects of KTA's operations include:

### **Collection**

KTA will only collect necessary information pertaining to one or more specific operations. The participant will be informed as to the purpose for which details are being collected.

### **Use and Disclosure**

KTA will ensure participant personal information is not used or disclosed for secondary purposes without obtaining explicit consent from the participant, unless a prescribed exception applies.

### **Data Quality**

KTA will take all reasonable measures to ensure that all participants' personal information that is collected, used, or disclosed is accurate, current, and complete.

### **Data Security**

KTA will take all reasonable measures to ensure all collected participants' personal information is protected from misuse, loss, or damage, and that all data and record storage is secure from unauthorised access, modification, or disclosure.

### **Openness**

KTA will maintain documentation which detail how participants' personal information is collected, managed, and used. When a participant makes an enquiry in relation to information collected, KTA will explain what information is held, for what purpose it is held and what procedures outline the collection and use of information.

### **Access and Correction**

KTA will allow participants access to personal information held in all circumstances unless prescribed exceptions apply. If the participant identifies errors within the information, KTA will correct and update to file.

### **Unique Identifiers**

KTA will not assign participants unique identifiers except when it is necessary for efficiency of operations. Commonwealth Government identifiers, such as Medicare numbers or Tax File Numbers, will only be used for the purposes of which they were issued.

### **Anonymity**

KTA will provide participants the opportunity to interact with the business without requiring the participant to make their identity known in any circumstances it is practical and possible to do so.

### **Trans-Border Data Flows**

KTA privacy protection principles apply to the transfer of data throughout Australia.

### **Sensitive information**

KTA will request specific consent from a participant in circumstances where it is necessary to collect sensitive information. Sensitive information may include but is not limited to; information relating to a participant's health, criminal record, racial or ethnic background.

### **Copyright**

Provisions under Part B of The Copyright Act 1968 allow all educational institutions to copy and communicate third party material to distribute to participants, within the limitations of the Statutory Education license. The *Copyright Agency Ltd (CAL)* administers the *Statutory Education License* on behalf of the Attorney General's Department.

Any RTO electing to hold this license is legally allowed to introduce a wide variety of material into its training environment, both in hardcopy and digital format, without having to obtain direct permission from the owner.

The Statutory Education license facilitates compliance and good governance across the industry, while at the same time ensuring the freedom and flexibility of sharing information without infringing copyright legislation.

Without this license, an educational institution is generally not allowed to reproduce any third-party material from any source, other than where there is a direct license/subscription in place or permission has been granted by the creator of the work.

**Australian Skills Quality Authority (ASQA)** is the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers according to the **Standards for Registered Training Organisations 2015 and any proceeding standards** to ensure nationally approved quality standards for training are met.

## Vocational Education and Training Regulations

The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's vocational education and training sector. ASQA plays a crucial role in ensuring that vocational education and training (VET) courses and training providers meet the nationally approved quality standards.

The legislative framework established by the National Vocational Education and Training Regulator Act 2011 and related legislation grants ASQA certain powers and responsibilities. These include:

Power to audit an RTO at any time:

- ASQA has the authority to conduct audits or assessments of Registered Training Organisations (RTOs) to assess their compliance with the Standards for Registered Training Organisations 2015. These audits can occur at any time to ensure ongoing compliance and quality.

Power to apply sanctions:

- If ASQA identifies non-compliance or breaches of the standards by an RTO, it has the power to apply various sanctions. These sanctions can include imposing conditions on an RTO's registration, suspending their registration temporarily, or cancelling their registration altogether. The purpose of these sanctions is to enforce compliance and maintain quality standards.

Review of ASQA decisions:

- Providers have the right to seek a review of ASQA's decisions. If an RTO disagrees with a decision made by ASQA, such as the imposition of sanctions or cancellation of registration, they can request a review through appropriate channels. This ensures that there is a mechanism for the independent assessment of ASQA's decisions and promotes transparency and fairness.

It's important for training providers to adhere to the standards set by ASQA to ensure the quality and integrity of vocational education and training in Australia.

**The VET Quality Framework is comprised of:**

- [Standards for Registered Training Organisations 2015](#)
- [Australian Qualifications Framework](#)
- [Fit and Proper Person Requirements](#)
- [Financial Viability Risk Assessment Requirements](#)
- [Data provision requirements](#)

[The Standards for Registered Training Organisations \(RTOs\) 2015](#) form an essential part of the VET (Vocational Education and Training) Quality Framework in Australia. These Standards are designed to ensure the integrity of nationally recognised qualifications and enhance the confidence of participant and employers in the VET system.

The Standards consist of eight individual Standards, each with a specific purpose and set of requirements. To comply with a Standard, an RTO must meet all the Clauses outlined within that Standard for all the areas it is registered to deliver training.

**An overview of the structure of each Standard:**

Governance and Accountability:

- Focuses on the governance and accountability requirements for an RTO.

The Client:

- Outlines the responsibilities of RTOs towards their clients/participant, including providing accurate information and support services.

Training and Assessment:

- Ensures that the training and assessment practices of an RTO are in line with the requirements of training packages or accredited courses.

Trainer and Assessor Competency

- Addresses the qualifications, skills, and knowledge required by trainers and assessors in an RTO.

Assessment

- Focuses on the quality assurance of assessment practices and the validation of assessment outcomes.

Certification

- Covers the issuance of qualifications, statements of attainment, and records of results to learners.

Administration

- Pertains to the administrative processes and systems required by an RTO.

Continuous Improvement

- Emphasises the importance of continuous improvement processes within an RTO, including monitoring, reviewing, and improving training and assessment practices.

Each Standard includes a broad statement that describes the desired outcomes, as well as a context statement that provides additional background information. The Clauses within each Standard describe the specific requirements an RTO must meet to comply with that Standard.

Complying with these Standards helps ensure that RTOs operate ethically, deliver high-quality training, and meet the needs of both participant and industry.

## INFORMING STAFF AND CLIENTS

Both staff and participant are well-informed about legislative and regulatory requirements relevant to their roles and participation in vocational education and training.

Informing Staff and Clients:

- RTO name will communicate legislative and regulatory requirements to both staff and clients. Awareness of these requirements is essential for effective operations and accountability.

Compliance and Accountability:

- RTO name recognises that compliance with legislative requirements is foundational to its operations. It contributes to transparency, accountability, and the overall effectiveness of the organisation.

Staff Communication:

- Staff will be informed about legislative requirements during their induction. Updates to legislation will be communicated through monthly management meetings and written correspondence.

Policy and Procedure Updates:

- Policies, procedures, tools, and templates will be promptly updated to reflect changes in legislation. This ensures that the organisation's practices align with the most current requirements.

Training and Professional Development:

- Necessary training will be organised in a professional and timely manner to ensure staff competence and compliance.

Online Access to Legislation:

- Staff are encouraged to access current legislation online via the Australian Legal Information Institute.

All staff are encouraged to view current legislation online the [Australian Legal Information Institute](#).

## PARTICIPANT HANDBOOK MAINTENANCE.

KTA produces the participant handbook with the intention of participants accessing the most current and accurate information relating to their studies and to support them during their learning.

KTA endeavours to maintain the accuracy and currency of the handbook, if a party is looking to clarify any aspect of the handbook or has any further questions, they should be encouraged to contact KTA at:

[KTA@komatsu.com.au](mailto:KTA@komatsu.com.au)

Review Date	Reason	Version Number
Sept 2024	Marketing design updates	Version 3
Sept 2024	Internal consultation and update, inclusion of participant costs for textbooks, site online induction update.	Version 2.1
Feb 2024	Annual update – remove reference to Department of Youth Justice, Employment, Small Business and Training (DYJESBT). Add Department of Employment, Small Business and Training (DESBT)Check links and add branding.	Version 2
2023	Annual update. Add new Department of Youth Justice, Employment, Small business, and Training. (DYJESBT)	Version 1.6
2022	Annual Update	Version 1.5
2021	Annual Update	Version 1.4
2020	Annual Update	Version 1.3
2019	Annual Update	Version 1.2
2018	Annual Update	Version 1.1
2017	Initial creation	Version 1.0