

Proforma for document audit for approval of a school provider

The following proforma lists the documentation that a school provider must maintain during any period of approval in order to demonstrate compliance with the requirements.

The requirements are detailed in the *Guidelines for Approved NSW School Providers Delivering Courses to Overseas Students* (the Guidelines).

By listing the required documentation as detailed in the Guidelines, the proforma provides a useful checklist for a school provider undertaking a self-review or document audit process. The proforma aims to assist a school provider identify the policies and procedures currently in place at the school to meet the requirements. Once completed, the proforma provides a record of the location of these policies and procedures.

The proforma is intended to supplement, not replace, the Guidelines. The Guidelines provide a full description of the requirements.

Proforma

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the <i>Guidelines for Approved NSW School Providers Delivering Courses to Overseas Students</i> ('the Guidelines')	Guideline reference	Does the school have this documentation?				
		Yes	No	N/A	If yes, school document name, location and date last revised	Responsible staff member
FIT AND PROPER TEST						
<ul style="list-style-type: none"> • a statutory declaration by the Chief Executive Officer and/or Principal Executive Officer of the provider declaring whether the provider, or an associate of the provider, or a high managerial agent of a provider who has been, is, or who will be involved in the business of delivering programs to overseas students: <ul style="list-style-type: none"> - has been convicted of a criminal offence - has ever had its CRICOS registration cancelled or suspended under the ESOS Act 2000 - has ever been issued with an Immigration Minister's suspension certificate - has ever had conditions imposed on its registration under the ESOS Act 2000 - has been bankrupt - has ever been disqualified from managing a corporation under the Corporations Act 2001 - has been involved in the business of provision of courses by another provider covered by any of the points above 	3.1					
<ul style="list-style-type: none"> • a documented process for notifying the Board of Studies immediately if a positive response is given to any of the circumstances described in 3.1 of the Guidelines at any time during a period of approval 	3.1					

AUSTRALIAN RESIDENCY

<ul style="list-style-type: none">a certificate of Incorporation as a Company, certificate of Registration of Business Name, ABN details, or evidence that the legal entity of the provider is of a kind approved by the Minister for Education and Training to be the proprietor of a non-government school, or that the provider is administered by a state education authority	3.2					
<ul style="list-style-type: none">the address of the provider's place of business, postal address and contact details	3.2					
<ul style="list-style-type: none">the names, and residency status, as appropriate of the provider or principal executive officer for unincorporated associations or directors, owners, partners, consortium providers, chief executives and managers	3.2					
<ul style="list-style-type: none">contact details for all premises at which the provider is delivering courses to overseas students	3.2					

TUITION ASSURANCE MEMBERSHIP

<ul style="list-style-type: none">details of provisional/current membership of a Tuition Assurance Scheme for all courses and total student numbers approved <p>or</p> <ul style="list-style-type: none">evidence of exemption, such as evidence of receipt of recurrent Commonwealth Government funding	3.3					
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IDENTIFICATION OF PERSONS REPRESENTING A PROVIDER

<ul style="list-style-type: none">maintain on the school provider's website, a list of all persons (whether within or outside Australia) who represent or act on the provider's behalf in dealing with overseas students or intending overseas students including education agents	3.6					
<ul style="list-style-type: none">processes to maintain the currency of the list on the website	3.6					
<ul style="list-style-type: none">records of the provider's dealing with the named persons	3.6					

MARKETING INFORMATION AND PRACTICES

<ul style="list-style-type: none">records of marketing and other materials for students which are consistent with 3.7.1 and 3.7.2 of the Guidelines and identify the provider's name and CRICOS number. The marketing information may include the school's website, prospectus and application forms	3.7					
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STUDENT ENGAGEMENT BEFORE ENROLMENT

<ul style="list-style-type: none">records of enrolment and course structure information that are consistent with 3.8.1 of the Guidelines and made available to students, such as:<ul style="list-style-type: none">information available on the provider's websitethe provider's prospectus or course brochuresstudent handbooksenrolment and application formsnotifications to students of course offers	3.8					
<ul style="list-style-type: none">procedures to assess whether the student's qualifications, experiences and English language proficiency are appropriate for the course for which enrolment is sought	3.8					
<ul style="list-style-type: none">records for each student demonstrating the basis of the school's assessment of the student's qualifications, experiences and English language proficiency for entry into the course for which enrolment has been sought	3.8					

FORMALISATION OF ENROLMENT

<ul style="list-style-type: none">a signed written agreement with each enrolled student and parent if the student is under 18 years of age<ul style="list-style-type: none">identifying the course for which the student is enrolled	3.9					
<ul style="list-style-type: none">an itemised list of course money payable	3.9					
<ul style="list-style-type: none">the processes for claiming a refund in accordance with 3.9.1 and 3.9.2 of the Guidelines	3.9					

EDUCATION AGENTS						
<ul style="list-style-type: none"> • a written agreement with each agent engaged by the provider which specifies: <ul style="list-style-type: none"> - the responsibilities of the education agent and the provider and the need to comply with the Guidelines 	3.10					
<ul style="list-style-type: none"> - processes for the provider to monitor the activities of the education agent, including where corrective action may be required 	3.10					
<ul style="list-style-type: none"> - termination conditions, including providing for termination in the circumstances outlined in Requirement 3.10.4 of the Guidelines. 	3.10					
<ul style="list-style-type: none"> • processes for ensuring that up-to-date and accurate information is provided to each agent used by the school provider 	3.10					
<ul style="list-style-type: none"> • records of the monitoring activities undertaken by the school provider of each agent engaged by the provider 	3.10					
<ul style="list-style-type: none"> • evidence of any immediate corrective or preventative action taken by the provider if the provider reasonably suspects any agent engaged by the provider of acting inappropriately 	3.10					

YOUNGER STUDENTS

<p>If a school provider enrolls students under the age of 18 years the provider must:</p> <ul style="list-style-type: none">• maintain up-to-date records of the living arrangements of all students under 18 years	3.11					
<p>If the school provider enrolls students under 18 years of age who are not living with a parent or a suitable nominated relative, the provider must have evidence of complying with 3.11 of the Guidelines including:</p> <ul style="list-style-type: none">• information provided to parents and prospective students about the provider's approved accommodation and welfare arrangements including a statement indicating whether or not the provider accepts unaccompanied students under 18 years of age	3.11					
<ul style="list-style-type: none">• a description of the school provider's approved arrangements for the accommodation, support and general welfare arrangements of students under the age of 18 years	3.11					
<ul style="list-style-type: none">• records for each student identifying the nominated dates for which the provider takes responsibility for approving the student's accommodation, support and general welfare	3.11					
<ul style="list-style-type: none">• for each student, evidence of advising DIAC of the provider's approval using the DIAC proforma letters available through PRISMS	3.11					
<ul style="list-style-type: none">• records of acceptance by parents of the provider's approved accommodation and welfare arrangements	3.11					
<ul style="list-style-type: none">• procedures for and records of contacting parents or legal guardians for matters related to the personal safety and social wellbeing of students	3.11					

<ul style="list-style-type: none"> • documented policy and procedures that: <ul style="list-style-type: none"> - outline the process the provider uses for recommending, monitoring, assessing and approving accommodation arrangements specifying the provider's requirements, process for review and the circumstances for terminating approval of the arrangements 	3.11					
<ul style="list-style-type: none"> - identify how persons/carers approved by the school provider for the accommodation and welfare of students are informed of their obligations in relation to child protection legislation 	3.11					
<ul style="list-style-type: none"> - identify how the approved accommodation and welfare arrangements are monitored by the school provider in relation to child protection legislation 	3.11					
<ul style="list-style-type: none"> - identify the action to be taken in the event that concerns about the accommodation or welfare of a student under 18 years of age are raised either through the provider's monitoring or any other credible source of information 	3.11					
<ul style="list-style-type: none"> - identify how the provider is satisfied that the approved accommodation and living arrangements comply with relevant local council requirements 	3.11					
<ul style="list-style-type: none"> • details of the school staff designated to manage the school provider's processes for recommending, monitoring, assessing and approving accommodation and welfare arrangements for students 	3.11					
<ul style="list-style-type: none"> • records of the activities undertaken by school staff designated to manage the school provider's processes for recommending, monitoring, assessing and approving accommodation and welfare arrangements for students under 18 years of age 	3.11					
<ul style="list-style-type: none"> • written agreements with other CRICOS registered providers regarding the scope of responsibility for students under 18 years of age planning to enrol with the other provider following completion of the current course (if applicable) 	3.11					

<ul style="list-style-type: none"> evidence of advising DIAC as soon as possible in the event that a student under 18 years changes his or her living arrangements or the provider no longer approves of the arrangements for the student using the DIAC proforma letters available through PRISMS 	3.11					
<ul style="list-style-type: none"> documented procedures to continue checking the suitability of the approved accommodation and welfare arrangements of a student in the event that the provider suspends or cancels the enrolment of the student for the periods specified in 3.11.3 of the Guidelines 	3.11					
<p>If the provider enrolls students under 18 years of age who are living with a parent or a suitable nominated relative (as defined by DIAC on its website), the provider must have evidence of complying with 3.11 of the Guidelines including:</p> <ul style="list-style-type: none"> records for each student living with a suitable nominated relative, that parent/s have approved of the arrangements 	3.11					
<ul style="list-style-type: none"> a policy and procedures for monitoring the living arrangements of students living with a parent or a suitable nominated relative including procedures for responding to concerns about the accommodation or welfare of a student under 18 years of age raised through the provider's monitoring or any other credible source of information 	3.11					

STUDENT SUPPORT SERVICES

<ul style="list-style-type: none"> • a copy of the orientation program conducted for students that is consistent with the points specified in 3.12.1 of the Guidelines 	3.12					
<ul style="list-style-type: none"> • information about support services provided to students with specific reference to: <ul style="list-style-type: none"> - the provider's student support personnel 	3.12					
<ul style="list-style-type: none"> - the services available to assist students to meet course requirements and maintain attendance 	3.12					
<ul style="list-style-type: none"> - welfare-related support available at no additional cost to students 	3.12					
<ul style="list-style-type: none"> - school staff designated as the official point of contact for students 	3.12					
<ul style="list-style-type: none"> - mechanisms for accessing the support services 	3.12					
<ul style="list-style-type: none"> • information provided to staff who interact directly with students to ensure that the staff are aware of the provider's obligations under the ESOS framework 	3.12					
<ul style="list-style-type: none"> • a documented critical incident policy and procedures with specific reference to the action to be taken in the event of a critical incident, required follow-up to an incident and records of the incident and action taken 	3.12					

TRANSFER BETWEEN REGISTERED PROVIDERS

<ul style="list-style-type: none"> • policies and procedures related to student transfer that support and are consistent with the intent of 3.13.1 to 3.13.6 of the Guidelines by: <ul style="list-style-type: none"> - describing the circumstances in which a transfer will be granted 	3.13					
<ul style="list-style-type: none"> - describing the circumstances the school provider considers as reasonable grounds for refusing a student’s transfer request, including examples of when a transfer can be considered detrimental to a student 	3.13					
<ul style="list-style-type: none"> - providing a reasonable timeframe for assessing and responding to a student’s transfer request (generally within 10 working days) 	3.13					
<ul style="list-style-type: none"> - having a ‘request for release’ form 	3.13					
<ul style="list-style-type: none"> • evidence that the provider’s transfer policy and procedures have been made available to staff and students 	3.13					
<ul style="list-style-type: none"> • evidence that the provider has communicated to a student any decision in response to the student’s request for a transfer and the reasons for the provider’s decision 	3.13					
<ul style="list-style-type: none"> • for each student enrolled during the current period of approval, records, as relevant, in the student’s file of: <ul style="list-style-type: none"> - completed ‘request for release’ forms 	3.13					
<ul style="list-style-type: none"> - the provider’s decision in response to such requests and the reasons for the provider’s decision 	3.13					
<ul style="list-style-type: none"> - student requests for an appeal of the decision 	3.13					
<ul style="list-style-type: none"> - evidence that any appeal was conducted in accordance with the provider’s documented appeal process as required by 3.14 of the Guidelines (Complaints and Appeals) 	3.13					
<ul style="list-style-type: none"> - copies of any letter of release to show that the student has the previous provider’s permission to transfer before having completed six months of their principal course 	3.13					
<ul style="list-style-type: none"> - an enrolment offer from a new provider kept on the student’s file 	3.13					

- if a student is under 18 years of age, written confirmation that the student's parent supports the transfer	3.13					
- if the student is under 18 years and is not being cared for in Australia by a parent or suitable nominated relative, a valid enrolment offer confirming that the receiving provider will accept responsibility for approving the student's accommodation, support and general welfare arrangements as specified in 3.11 of the Guidelines (Younger Students)	3.13					

COMPLAINTS AND APPEALS						
• policies and procedures for handling complaints and appeals with processes for internal review and independent external review that are consistent with 3.14.1 to 3.14.5 of the Guidelines	3.14					
• a statement in the policies and procedures of the provider's obligation to maintain the enrolment of a student while a complaint and/or appeal is considered	3.14					
• evidence that the policies and procedures are communicated to staff and students	3.14					
• for each student enrolled during the current period of approval, records, as relevant, in the student's file of	3.14					
- any complaint made to the provider and the nature of the complaint						
- the written notification of the outcomes of the complaint and appeal, if relevant, that were provided to the student	3.14					
- the corrective or preventative action taken by the provider where the outcome of a complaint was decided in the student's favour	3.14					
• a written agreement with an independent external body for the provision of dispute resolution	3.14					

COURSE COMPLETION WITHIN EXPECTED DURATION OF STUDY						
<ul style="list-style-type: none"> policies and procedures in relation to monitoring student course completion with specific reference to ensuring that at all times each student is in a position to complete the course within the expected duration as specified on the student's Confirmation of Enrolment (CoE) 	3.15					
<ul style="list-style-type: none"> records of student enrolment identifying the date of commencing and the intended date for completing the course for which the student is enrolled 	3.15					
<ul style="list-style-type: none"> for each student enrolled during the current period of approval, records, as relevant, in the student's file of: <ul style="list-style-type: none"> the student's timetables providing adequate time for the course to be completed 	3.15					
<ul style="list-style-type: none"> <ul style="list-style-type: none"> evidence that courses undertaken by distance and/or online learning do not exceed 25 percent of the student's total pattern of study in any one school year 	3.15					
<ul style="list-style-type: none"> <ul style="list-style-type: none"> any units undertaken by distance education showing that at least one subject per school year is not by distance education 	3.15					
<ul style="list-style-type: none"> <ul style="list-style-type: none"> medical certificates and/or other evidence the student provided to justify compassionate or compelling circumstances 	3.15					
<ul style="list-style-type: none"> <ul style="list-style-type: none"> intervention strategies such as counselling provided to assist the student if the student is deemed at risk of not completing the course within the specified time 	3.15					
<ul style="list-style-type: none"> <ul style="list-style-type: none"> any variation to the student's enrolment and course length and the reasons for the variation 	3.15					
<ul style="list-style-type: none"> reports of variations in a student's enrolment load via PRISMS 	3.15					

MONITORING COURSE PROGRESS						
<ul style="list-style-type: none"> • policies and procedures for monitoring, recording and assessing student course progress 	3.16					
<ul style="list-style-type: none"> • written guidelines for determining when a student is deemed to be at risk of failing, not completing or not yet competent in 50 percent or more of the units attempted in any study period 	3.16					
<ul style="list-style-type: none"> • a documented intervention strategy and counselling for assisting students at risk of not making satisfactory course progress 	3.16					
<ul style="list-style-type: none"> • evidence of the policies and procedures and intervention strategies being made available to staff and students 	3.16					
<ul style="list-style-type: none"> • for each student enrolled during the current period of approval, records, as relevant, in the student's file of: <ul style="list-style-type: none"> - the provider's assessment of the student at the end of each study period 	3.16					
<ul style="list-style-type: none"> - details of any intervention strategy implemented for the student including any medical certificates and/or records of counselling 	3.16					
<ul style="list-style-type: none"> - any written notice informing the student that the provider intends to report the student to DEEWR through PRISMS for not making satisfactory course progress and the reasons for this decision and that the student has 20 days in which to appeal the decision 	3.16					
<ul style="list-style-type: none"> - any complaint or appeal made by the student and written evidence of the student being notified of the outcome of the process 	3.16					
<ul style="list-style-type: none"> - reporting unsatisfactory course progress to DEEWR through PRISMS 	3.16					

MONITORING ATTENDANCE

<ul style="list-style-type: none"> • documented attendance policies and procedures provided to staff and students specifying: <ul style="list-style-type: none"> - the requirements for achieving satisfactory attendance, which at a minimum, requires attendance for at least 80 percent of the scheduled course hours 	3.17					
<ul style="list-style-type: none"> - the process for recording and calculating attendance and absences 	3.17					
<ul style="list-style-type: none"> - the process for contacting and counselling students who have been absent for more than five consecutive days without approval or where the student is at risk of not attending for at least 80 percent of the scheduled course contact hours for the course in which he or she is enrolled 	3.17					
<ul style="list-style-type: none"> - the process for determining the point at which a student has failed to meet satisfactory attendance 	3.17					
<ul style="list-style-type: none"> - the procedure for informing a student in writing of an intention to report the student to DEEWR through PRISMS for not achieving satisfactory course attendance and that a student has 20 working days in which to appeal any decision to report the student to DEEWR for unsatisfactory attendance 	3.17					
<ul style="list-style-type: none"> - the process for appealing a decision of the provider to report a student to DEEWR for not achieving satisfactory attendance 	3.17					
<ul style="list-style-type: none"> • for each student enrolled during the current period of approval, records, as relevant, in the student's file of: <ul style="list-style-type: none"> - contacting and counselling the student if the student is identified as being at risk of not meeting attendance requirements 	3.17					
<ul style="list-style-type: none"> - evidence of any intervention action undertaken by the provider to improve attendance 	3.17					
<ul style="list-style-type: none"> - written advice to the student if the provider's attendance policy has been breached indicating that the student has 20 working days in which to lodge an appeal 	3.17					

- any complaint or appeal made by the student and written evidence of the student being notified of the outcome of the process	3.17					
- any evidence relating to compassionate or compelling circumstances where a minimum of 70 percent attendance has been applied by the provider in accordance with 3.17.9 of the Guidelines	3.17					
- any report made to DEEWR through PRISMS about the student's failure to meet attendance requirements	3.17					

COURSE CREDIT (if applicable)						
• a documented procedure for granting and recording course credit	3.18					
• evidence of making the procedures available to staff and students	3.18					
• if course credit has been granted for a student enrolled during the current period of approval, records in the student's file of:	3.18					
- the course credit granted and evidence of the basis for granting the credit						
- evidence that if course credit was granted after a visa was issued and this led to a reduction in the course length, that this variation has been reported to DEEWR through PRISMS	3.18					
- any application for course credit that was refused by the provider including evidence of written notice to the student and the reason for the provider's decision	3.18					

DEFERRING, SUSPENDING OR CANCELLING THE STUDENT'S ENROLMENT

<ul style="list-style-type: none"> • policies and procedures for assessing, approving and recording a deferment of the commencement of study, a suspension of study or the cancellation of student enrolment that are consistent with the intent of 3.19 of the Guidelines 	3.19					
<ul style="list-style-type: none"> • evidence of making the policies and procedures available to staff and students 	3.19					
<ul style="list-style-type: none"> • policies and procedures for informing parents of students under 18 years of age of any identified risk of cancellation of student enrolment 	3.19					
<ul style="list-style-type: none"> • written information given to students prior to enrolment which states the grounds on which a student's enrolment may be deferred, suspended or cancelled 	3.19					
<ul style="list-style-type: none"> • written information given to students which states that any deferment, suspension or cancellation of enrolment may affect a student's visa 	3.19					
<ul style="list-style-type: none"> • for each student enrolled during the current period of approval, records, as relevant, in the student's file of: <ul style="list-style-type: none"> - any request for deferment or suspension of enrolment 	3.19					
<ul style="list-style-type: none"> - evidence of how any such request has been assessed by the provider and how the student was informed in writing of the outcome of the request 	3.19					
<ul style="list-style-type: none"> - any action taken by the provider with regard to deferring, suspending or cancelling the student's enrolment including evidence of the written advice given to the student and parent including that the student has 20 working days in which to appeal a decision 	3.19					
<ul style="list-style-type: none"> - any complaint or appeal made by the student and written evidence of the student being notified of the outcome of the process 	3.19					
<ul style="list-style-type: none"> - evidence of notification to DEEWR through PRISMS of any change to the enrolment status of the student 	3.19					

STAFF CAPABILITY, EDUCATIONAL RESOURCES AND PREMISES						
<ul style="list-style-type: none"> • policies and procedures for the staffing and educational resources required to meet the needs of the students and the courses being delivered 	3.20					
<ul style="list-style-type: none"> • evidence that the provider's teaching staff have appropriate qualifications and teaching experience for the school courses being delivered 	3.20					
<ul style="list-style-type: none"> • a description of the provider's organisational structure including key positions and responsibilities and identification of the personnel responsible for overseas students 	3.20					
<ul style="list-style-type: none"> • documented processes for staff induction with specific reference to overseas students 	3.20					
<ul style="list-style-type: none"> • evidence of the ownership or tenure arrangements of the provider's premises to deliver the courses for which the provider is approved 	3.20					
<ul style="list-style-type: none"> • records of implementing any restriction imposed by the Board of Studies in relation to a maximum student number for the premises 	3.20					
<ul style="list-style-type: none"> • processes for notifying the Board of Studies of an intention to relocate premises at least 20 working days before the relocation or, for a registered non-government school, at least three months in advance of implementing such a change 	3.20					
<ul style="list-style-type: none"> • processes for notifying any enrolled student and any accepted student who has not commenced of an intention to relocate premises at least 20 working days before the relocation 	3.20					

CHANGES TO REGISTERED PROVIDER'S OWNERSHIP OR MANAGEMENT						
<ul style="list-style-type: none"> documented processes for notifying the Board of Studies of changes to the provider's ownership as soon as possible, or, for a registered non-government school, within seven days of the change 	3.21					
<ul style="list-style-type: none"> documented processes for notifying the Board of Studies of changes to the provider's high managerial agents as soon as practicable prior to the change taking effect or within 10 working days of the change taking effect where the change cannot be determined until it takes effect 	3.21					
<ul style="list-style-type: none"> documented processes for obtaining information to assist the Board of Studies in assessing whether a high managerial agent of the provider satisfies the 'fit and proper' test 	3.21					
<ul style="list-style-type: none"> if a provider's legal entity changes and a student is offered a refund as a result of the change, evidence of the offer and the student's response 	3.21					