| Policy Document Administrator | Quality Manager |
|---|---|
| Policy Document Approver | Vice-Chancellor |
| Responsible Body/Person | Vice-Chancellor |
| Next Review date | February 2027 |
| Superseded documents | None |
| Related documents | *Affiliated College Risk & Compliance Reporting Framework* <br> *Financial Alert Protocols* <br> *Risk Appetite Statement* <br> *Affiliated College Risk & Compliance Alert Protocols* <br> *Annual College Review Self-Assurance Handbook* |
| Related HE Standards | 5.4.2, 6.2, 6.3.1,7.1, 7.2, 7.3.1 |
| Related National Code Standards | N/A |

## 1. INTRODUCTION

The **University** is committed to ensuring that all its students experience a high-quality theological education that prepares them to make a valuable contribution to society through work and Christian ministry. This requires that the University ensures a high standard of educational experience consistently across the consortium.

The University is responsible when a course of study, any parts of a course of study, or research training are delivered through arrangements with another party, as is the case with the **Affiliated Colleges**. The University, as the registered higher education provider, remains accountable for the course of study and verifies continuing compliance of the course of study with the standards in the **Higher Education Standards Framework (2021)** that relate to the specific arrangement.

The Affiliated College Risk and Compliance Reporting Framework and its administration supports the achievement of this aim through the following processes:

a) Establishing standards

b) Measuring the achievement of the standards

c) Supporting the continued achievement of the standards.

These processes are designed to inculcate the culture and practice of quality improvement in each Affiliated College and hence the consortium overall.

## 2. DEFINITIONS

Definitions for any words in **Bold** in this document can be found in the Policy Glossary. The first instance of each defined term has been outlined in bold.

## 3. ROLE OF THE AFFILIATED COLLEGE RISK AND COMPLIANCE REPORTING FRAMEWORK AND THE ANNUAL COLLEGE REVIEW CYCLE

a) Compliance Legislation

As a Higher Education provider, the University must be compliant with the Higher Education Standards Framework (Threshold Standards) 2021. Offering studies to **Overseas Students** (students in Australia that who are studying with student visas) requires the University to be compliant with the **National Code** of Practice for Providers of Education and Training to Overseas Students 2018.

As an entity listed with the Australian Charities and Not for Profits ACNC and with the Australian Securities and Investment Commission ASIC, the University must also must be compliant with Australian Charities and Not-for-profits Commission Act 2012 and the Corporations Act 2001 (Cth).

As a registered Higher Education Provider which that participates in eligible students undertaking FEE-HELP loans to fund their course, the University must be compliant with the Higher Education Support Act (2003).

The framework and review items noted in Appendix 1 will develop over time in response to changes in the higher education environment, TEQSA guidance notes, legislation, and the circumstances of the University and its affiliates.

b) External Registration and Review Authorities

These regulatory requirements are reviewed for compliance by **TEQSA**, and the federal Department of Education (DoE). The Auditor for the University also independently reviews the University's compliance with ACNC and ASIC governance requirements.

c) Internal Compliance within the University

The Council has responsibility for compliance with relevant legislation and external registration and review authorities.  The Council utilises its direct committees—the **Finance, Risk, Audit and Compliance Committee (FRAC)** and the **Academic Board**, as well as the **standing committees** of the Academic Board and relevant University Staff members—to ensure compliance and maintain evidence of this compliance. The key document by which this compliance is achieved at the Affiliated College level is the **Affiliation Agreement**. The annual Affiliated College reporting processes and the University's review of compliance with the affiliation agreement is achieved through this Affiliated College Risk & Compliance Reporting Framework. Any identified concerns in compliance or evidence collection are addressed through the Affiliated College Risk & Compliance Alert Protocols.

d) Annual College Review Cycle and Tickit task 065 Annual self-assurance review

A key component in achieving internal compliance for Affiliated Colleges is the annual review cycle and particularly **Tickit** on Demand task 065 Annual self-assurance review. Tickit is the University's current primary quality assurance data collection tool. Engagement with the reporting requirements in Tickit completes the majority of the college reporting outlined in this Affiliated College Risk and Compliance Reporting Framework. In this process of 065 Annual self-assurance review, the Affiliated College reviews their "once and update" information, which was supplied as an initial upload either when the College joined the University or when the use of the Tickit system was first introduced, whichever was later. Once the Affiliated College has reviewed their supplied information, they indicate which items are current and consistent with standards outlined in the Affiliated College Risk & Compliance Reporting Framework, outlines which items are not currently compliant or will expire prior to annual the Affiliated College annual review, and provides a report to the University regarding how the college intends to address the missing or invalid information.

e)  Stakeholders

The Annual College review cycle required by the Affiliated College Risk & Compliance Reporting Framework and the Affiliated College Risk and Compliance Alert Protocols enables reporting on compliance to the various governance bodies of the University, to the network of Affiliated Colleges and their stakeholders, and external registration and review authorities.

## 4. SCHEDULE OF ANNUAL COLLEGE REVIEW CYCLE

The annual college review cycle operates as a process of continuous improvement rather than a single event. Key milestones in the cycle are outlined below.

| | |
|---|---|
| Mid Feb – March | Colleges are reminded of any outstanding items outlined in the previous year's reporting process. |
| March 31 | College supplies 065 Annual self-assurance review. Certify that all previously submitted documents have been checked and are current. Any items that are not current are indicated by the colleges as matters they will attend to, including timeframe for doing this. Colleges utilise the Annual College Review Self-Assurance Handbook to assist in this process. |
| April - June | College updates any items noted as outstanding from their 065 Annual self-assurance review. |
| July – September | Assessment period. The University Quality Department reviews each college's compliance against the items in each risk area outlined in the Framework. During this period Quality receives internal reports from other University departments including, Finance, Teaching & Learning, and Research. These reports are integrated into the Annual Review process. |
| | During the assessment period, the University Quality Department works with Affiliated Colleges through the Requests for Further Information process where the department |

notifies the college of any item that is below a compliant standard and indicates areas to address to achieve a compliant standard.

| | |
|---|---|
| September | The University's internal reporting period to FRAC. Affiliated College submissions close. The committee authorises the release of Affiliated College reports and notes any outstanding items. |
| October/November | Reports are issued to the colleges. Three items are supplied: |

1) Table 1 These items are deemed 'Not Compliant' or 'In Progress' – these are high-priority items and must be addressed urgently. These items will be considered by each meeting of the relevant governance body until the matter is resolved.

2) Table 2 These items have been marked as 'Compliant However' – these are items that are generally valid, however have some need to be addressed, such as documents which are otherwise satisfactory but the version provided may have missed their stated review dates and therefore may be out of date. These items are to be completed before the Annual self-assurance submission – 065 due 31 March, the following year. Note if items assessed as 'Compliant However' in one year are not addressed prior to the review in the following year, and the same issue remains, they are assessed as 'in-progress' or 'not compliant'. This ensures that no item remains in the 'Compliant However' category for more than one review cycle, supporting the development of a quality assurance culture.

3) Report generated from *Tickit on Demand* including the compliance assessment for the college on each required task.

| | |
|---|---|
| October – March | At each meeting of relevant governance bodies, items deemed 'Not Compliant' or 'In Progress' are reviewed. FRAC reviews the risks of Governance; Management and planning; and Management of Incidents, via reports on college actions by the Director of Quality. FRAC also reviews Financial Viability; and Financial Safeguards, via reports on college actions by the Finance Director. |

The Academic Board, via its standing committees as relevant, reviews the risks of the Learning Environment; Academic Quality; Student well-being and support and Quality Management - via reports on college actions by the **Quality Manager.**

The Academic Board reviews the risk of Teaching, Research and Scholarship via reports on college actions by the University's Research Department.

## 5. RISKS AND EVIDENCE

The **Council** of the Australian University of Theology has identified 10 broad areas of risk for the University and its affiliates:

| 1 | Governance | 6 | Learning Environment |
|---|---|---|---|
| 2 | Management and Planning | 7 | Academic Quality |
| 3 | Financial Viability | 8 | Student well-being and support |
| 4 | Financial Safeguards | 9 | Management of Incidents |
| 5 | Teaching, research, and scholarship | 10 | Quality Management |

The evidence assurance for each of these items and the rubrics by which they are assessed can be found in Appendix 1. These operate in conjunction with the *Financial Alert Protocols*.

Evidence supplied by Affiliated Colleges is in three categories:

<u>Self-Assurance items</u>
The information in this category is provided as part of the Affiliation Agreement. College review and update this material annually as part of the 065 Annual self-assurance review.
<u>Regular</u>
These are annually reported items and are due at the end of March each year.
<u>On the Spot</u>
Information will be provided promptly following the event. The nature of the event or incident will in part determine the timing of the submission.
Any change in any of the areas/documents outlined below are to be updated immediately in Tickit and the Quality Department notified.

## 6. PROTOCOLS, INVESTIGATION, AND RESOLUTION

The Affiliated College Risk & Compliance Alert Protocols are intended to trigger a response to issues of significant concern identified through college reporting under the Affiliated College Risk and Compliance Framework. The purpose of the protocols is to maintain the University's commitment to continued quality improvement, and to ensure that any significant quality concern that may threaten the University's standing and reputation with students or the regulator are addressed immediately. The outcomes of the reporting process will trigger actions by the University as established in the Affiliated College Risk and Compliance Alert Protocols. Actions may include regular monitoring, the request of a formal report to the Vice-Chancellor, and the request of a formal report to FRAC. These Protocols ensure elements of compliance noted in the review are resolved and the process recorded.

## 7. RELATED DOCUMENTS AND LEGISLATION

Federal Register of Legislation - Tertiary Education Quality and Standards Agency Act 2011

Higher Education Standards Framework (Threshold Standards) 2021

Affiliated College Risk & Compliance Alert Protocols

Annual College Review Self-Assurance Handbook

National Code of Practice for Providers of Education and Training to Overseas Students 2018

Education Services for Overseas Students Act 2000

## 8. VERSION HISTORY

| Version | Approved by | Approval Date | Effective Date | Changes made |
|---------|-------------|---------------|----------------|--------------|
| 1 | ACT Dean and CEO | January 2018 | January 2018 | New framework document. |
| 2 | ACT Dean and CEO | April 2023 | April 2023 | Added tasks that are relevant to each risk in line with the Tickit information. |
| 3 | Vice-Chancellor | February 2025 | February 2025 | Changed terminologies including ACT to University, Board to Council and Dean to Vice-Chancellor. Made amendments to 147 IT Support and Cybersecurity Policy and Risk Area 5: 044 Teaching, research, & scholarship. Added the new task information 204 Overseas Student Liaison Officer Contact (OSLO Contact Officer - Form required) to Risk Area 10: 050 Quality management |

*Any hard copy of this electronic document may not be current as the University regularly reviews its procedures. The latest version can be found online at autˌeduˌau documents*

## Appendix 1: Risk Area Reported Items

All sections within the Risk areas below are subject to the Material Changes outlined in the Affiliated College Changes Policy regardless of the reporting time frames outlined in this appendix.

Any change in any of the areas/documents outlined below is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

Note: - Where the governing body of the college is not the college itself and the governing body already has policies or procedures that address the required evidence aspects the college shall supply the Governing body's policy and -

- Note where the college is mentioned in the governing body's document/policy to assure the University that the policy scope includes the college; or
- Supply assurance from an office-holder of the governing body of the college's governance relationship to the governing body in relation to the document/policy.

## Risk Area 1: 040 Governance

Reporting: 065 Annual self-assurance review

- ☐ 001 Constitution of governing body

  *Tickit instructions:*
  - Submit the constitution of the governing body of the college.
  - Reference document is provided in Tickit as a sample.

  *Actions to Demonstrate Compliance*:
  - The document is in place and is current.
  - Adequate document provided approved through appropriate governance (not draft).
    that demonstrates how the college meets its obligations of HESF 6.2 a.
  - Where the governing body of the college is not the college itself.
    - o Additionally note where the college is mentioned in the governing body's constitution.
      Or
    - o Supply assurance from an office holder of the governing body of the college's governance relationship to the governing body.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

- ☐ 002 Governance structure

*Tickit instructions:*
- Submit details of the governance structure of the college in the form of a diagram, description, or combination of the two. The information provided must indicate the arrangements in place for both corporate and academic governance.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2 f, 6.3.1, 6.3.2. The submitted evidence indicates governance structure including corporate and academic governance. If the college does not have an academic board or equivalent, arrangements for academic governance must also be provided/demonstrated.
- Where the governing body of the college is not the college itself, in addition to internal governance and academic governance, clear indication is provided of the formal reporting and governance between college and their governing body as part of the evidence supplied.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

&#9744;  004 Membership of governing bodies (triennial)

*Tickit instructions:*
- Submit the names and other details of the membership of the governing bodies of the college (corporate only).
- See linked reference template: (You may upload your own document which provides equivalent information).

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft).
  that demonstrates how the college meets its obligations of HESF 6.2 a
- Membership supplied and updated within the last 3 years.
- Document contains names and other details (such as position and area of expertise) of the members of the governing bodies of the college (corporate only).  A template is available as an option (linked as a reference document in the task description).

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

  ☐ 007 Terms of Reference of Finance Committee

   *Tickit instructions:*
- Submit the Terms of Reference (ToR) document of the Finance Committee of the college, (the committee with delegated responsibilities for finance and audits).
- See linked reference template: You may upload your document which provides equivalent information.
- Reference document is provided Tickit as a sample.

   *Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2 a,b,c, and d.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date.
- Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

  ☐ 008 Fit & Proper Person Declaration

   *Tickit instructions:*
- Submit the college's Fit & Proper Person Declaration.
- See linked reference template: You may upload your own document which provides equivalent information.
- Reference document is provided Tickit as a sample.
-

   *Actions to Demonstrate Compliance:*
- The document is in place and is current.

- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.1.1 and 6.1.2.
- Using the template linked to this task as a reference document, complete and upload as an evidence document the Fit and proper person declaration. The form should be completed by the authorized officer of the college (e.g. the CEO).
- Declarations submitted within the last 2 years.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: Regular
No additional regular reports other than the 065 Annual self-assurance review
……………………………………………………………………………………

Reporting: On the spot when changes occur
Material Changes outlined in the Affiliated College Changes Policy
Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

## Risk Area 2: 041 Management and Planning

Reporting: 065 Annual self-assurance review

☐ 012 Strategic plan

*Tickit instructions:*
- Submit the college's strategic plan for the current period.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2 b.
- The document is within date (current period).

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available,

please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 024 Risk management policy

*Tickit instructions:*
- Submit the college's Risk Management Policy and Procedure.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2 e, 5.2.2, 5.3., 6.3.2 d.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 013 Business continuity plan

*Tickit instructions:*
- Submit the college's Business Continuity Plan (BCP).
- Reference document is provided Tickit as a sample.
- The reference document (linked in Tickit) provides a brief description of a BCP, and how it is distinguished from a Disaster Recovery Plan (DRP).
  Note that if the college has its BCP and DRP in one document, it may be submitted for this task as well as for the DRP task and is to be uploaded in both locations.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2 e, and i.

- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses Business Continuity.

Note: The primary difference between a DRP and a BCP is that a BCP outlines how the organisation will continue to function in the event of an outage, and a DRP refers to how the organisation will recover files, operating systems, hardware and applications after a damaging event.

In practice, a BCP and a DRP may cover the same ground. When they do, they can be used interchangeably or as a stand in for the other within the context of an affiliated college. If this is the case, the one document is uploaded in both task 013 and task 015.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 015 Disaster recovery plan

*Tickit instructions:*
- Submit the college's Disaster Recovery Plan.
- See linked reference template: (You may upload your own document which provides equivalent information).

The reference document provides a brief description of a DRP, and how it is distinguished from a Business Continuity Plan BCP). Note that if the college has its DRP and BCP  in one document, it may be submitted for this task as well as for the DRP task and is to be uploaded in both locations.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 7.3 and 6.2e.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date.
- Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses Disaster Recovery.

Note: The primary difference between a DRP and a BCP is that a BCP outlines how the organisation will continue to function in the event of an outage, and a DRP

refers to how the organisation will recover files, operating systems, hardware and applications after a damaging event.

In practice a BCP and a DRP may cover the same ground. When they do they can be used interchangeably or as a stand in for the other within the context of an affiliated college. If this is the case the one document is uploaded in both task 013 and 015.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 147 IT Support and Cybersecurity Policy

*Tickit instructions:*
- Submit the college's IT Support and Cybersecurity Policy
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 7.3.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 016 Maintenance schedule for major works and infrastructure development plan

*Tickit instructions:*

- Submit the college's Maintenance schedule for major works and infrastructure development plan.
- See linked reference template: Note template has some content added for illustration. (You may upload your own document which provides equivalent information).

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.1
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document demonstrates planning for major maintenance requirements by supplying a maintenance schedule. The schedule should address tasks of substantial cost that arise periodically in the medium to long term, e.g. every 3-15 years (e.g. replace carpet, paint). The infrastructure development plan should show any planned additions or improvements to the existing infrastructure for a similar period of time (e.g. add extension to library, or addition of new teaching/student spaces).

  o If indicated that infrastructure is maintained by parent organization or landlord a document from the parent organisation or landlord confirming their responsibility for maintenance is sufficient.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 017 Human resources policies

*Tickit instructions:*
- Submit the college's human resources policies
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 3.3.4, 6.1.4

- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date.
- Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses recruitment, induction, staff review, and termination of contract. These may be supplied in the form of a staff handbook.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐  018 Fraud prevention policy

*Tickit instructions:*
- Submit the college's fraud prevention policy.
- Reference template provided in Tickit. Colleges may upload their own document which provides equivalent information.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 7.3.3
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date.
- Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses the prevention of fraud at the College.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: Regular

☐ 048 Risk Register and planned major changes (Form C)

*Tickit instructions:*
- Submit the college's Risk Register and planned major changes (Form C)
- See the linked reference form. Provide the Risk register as evidence with the form and address the intention to seek approval for any major changes that the college is seeking to implement and have in place by 31st December. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 1.3.4; 5.2.2; 5.3.2; 5.3.7, 6.3.2.d
- The document is current. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document provides the most recent revision of the college's risk register as well as notice of any major change applications the college may be making during the year. There is also the opportunity to identify risks that may apply to the AUT consortium.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

...................................................................................................................

Reporting: On the spot when changes occur
☐ Material Changes outlined in the Affiliated College Changes Policy
☐ Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

## Risk Area 3: 042 Financial viability

Reporting: 065 Annual self-assurance review
☐ None
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Reporting: Regular

☐ 044 Finance workbook (including Financial Plan) (Form A)

*Tickit instructions:*
- Submit the college's Finance workbook (including Financial Plan) (Form A
- Reference form provided in Tickit. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2.1.c,d, and 7.3 d.
- Document requires the submission of the Finance Report Tickit form. A link to the form is available as the 'Reference Form' under Task Details. Alternatively, the Tickit User may create a new form from the Forms tab (select Finance Report (Form A)). Several evidence documents must be attached to the form, including:

  - the Finance Workbook
  - audited financial statements
  - the certification on the finance workbook

Templates can be downloaded from within the form itself. Once the form is submitted a PDF must be extracted and attached to this task.

To have another person, such as the finance officer, complete the form, copy the link to the Reference Form and send it by email. The form can be completed by a person not logged in to Tickit using the link. Care should be taken to ensure the correct college name is selected when completing the form. The responsible Tickit user for this task will receive an email notification once it is lodged.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

- ☐ Audited accounts
- ☐ Certificates of Currency for institutional and student insurance
- ☐ DGR donations (Acquittal certificate)
- ☐ Use of FEE-HELP funds statement
- ☐ Annual guarantee
- ☐ Review previous '065- Annual Self-assurance' submissions and update as required

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Reporting: On the spot
&#9633; None

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Other metrics applied by the University Office in risk assessment:

&#9633; Finance alert protocols

## Risk Area 4: 043 Financial safeguards

Reporting: 065 Annual self-assurance review

&#9633; 020 Financial controls

*Tickit instructions:*
- Submit documentation of the financial controls regulating the college's financial management.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2.1.d.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses the college's documented financial controls which regulate its financial management.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

&#9633; 021 Financial management (staffing)

*Tickit instructions:*
- Submit the college's Financial management staffing.
- Reference form provided in Tickit: Report details including the Name, Position title, Relevant qualifications, and Relevant experience for the senior staff with responsibilities for the management of the college's finances.

Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.2.1 c, d.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document reports details for the senior staff with responsibilities for the management of the college's finances.
- Details required include Name, Position title, Relevant qualifications, and Relevant experience

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: Regular
None
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Reporting: On the spot when changes occur
- ☐ Material Changes outlined in the Affiliated College Changes Policy
- ☐ Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

## Risk Area 5: 044 Teaching, research, & scholarship

With the implementation of the Research and Scholarship policy by the University's Research Department, "Risk – Teaching, research, and scholarship", is assessed separately by the Research Department and reported to the Academic Board.

## Risk Area 6: 045 Learning environment

Reporting: 065 Annual self-assurance review

- ☐ 022 Admission requirements (Form required)

*Tickit instructions:*
- Submit the college's requirements for student admission.
- See linked reference form: Provide information about any requirements of your college for both admission and continuing enrolment. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections adequately engaged with
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 1.1;2.2

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

- ☐ 029 Provision of student support services (Form required) (Annual self-assurance task)

*Tickit instructions:*
- Submit college's provision of student support services form
- See linked reference form: Report the student support services that are offered by the college and how they are provided (e.g. internally or by referral).

Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

NOTE: Colleges with multiple campuses is required to complete the form for each campus. It is important to provide adequate statements in all areas of the form.

*Actions to Demonstrate Compliance:*

- The correct form is completed and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.3.2; 2.3.3
- The form addresses all areas of the services provided to the students (internal and external services details are listed)

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not

available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 023 Orientation program details (Form required)

*Tickit instructions:*
- Submit details of college's orientation program.
- See linked reference form: Provide the details of the college's orientation program. If the college enrols overseas students or students studying by online delivery further detail is required about the orientation programs for these cohorts.

Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance. The University Orientation Program Rules are provided as a reference document and the completed Reference Form should show how the college's program meets all the requirements of the rules.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 1.3.1; 1.3.2.a; 4.2.1.b; 7.2.2.b.
- Document addresses the required components of the Orientation program details.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 025 Learning spaces (Form required)

*Tickit instructions:*
- Submit the college's Learning Spaces (Form required)
- Reference form is provided in Tickit:
  Report the college's physical spaces (not online spaces) that support student learning and interaction with peers and teaching staff.
  Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance*:
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.2.1; 3.3; 7.3.1.h.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.


☐ 026 Freedom of intellectual enquiry

*Tickit instructions:*
- Submit the college's Freedom of intellectual enquiry policy.
- Reference document is provided Tickit as a sample.


*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 6.1.4
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses freedom of intellectual enquiry. The document provided should apply and or address both students and staff of the college.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 027 Community Engagement Plan (Annual self-assurance task)

*Tickit instructions:*
- Submit the college's Community Engagement Plan
- See linked reference template: You may upload your own document which provides equivalent information.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF B1.2.10, B1.3.13, 5.4.1
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses the requirements set out in the University Community Engagement Policy (See the linked reference document).

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.


☐ 038 Library Report - (Form required) (Annual self-assurance task)

*Tickit instructions:*
- Submit the college's Library Report.
- Reference document is provided Tickit as a sample.
- See linked reference form:
  Provide the library's strategic plan and the collection development policy. Also provide updates required on the form. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 3.3.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date.

- Document addresses Library report form, and strategic plan if referenced in the form is also supplied. The Library Policy is available as a reference document.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: Regular

- ☐ 046 Review Outcomes of Community Engagement Plan (Form required) (Annual task)

*Tickit instructions:*
- Submit the college's Review Outcomes of Community Engagement Plan. .
- Reference document is provided Tickit as a sample.
- See linked reference form:
  Report annually to the University the outcomes of the review of the implementation of the Community Engagement Plan during the reporting year. If a review of the Community Engagement Plan has been prepared for internal college management, the document may be attached instead of responding to the fields of the form. A revised Community Engagement Plan is NOT required for this task.

Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF B1.2.10, B1.3.13, 5.4.1
- Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses the annual review of the implementation of the college's Community Engagement Plan. The review should provide brief comments on the achievement of the plan's outcomes, ideally against KPIs.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not

available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 042 Library Report - Annual Task (Form required)

*Tickit instructions:*
- Submit the college's Library Report
- Reference form is provided in Tickit:
  Provide information annually on the operation of the library which includes details of library acquisitions, expenditure on acquisitions by resource type, staffing, and quality management information. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 3.3; 4.1.3
- Document addresses details of library acquisitions, expenditure on acquisitions by resource type, staffing, and quality management information. The minimum expenditure on library acquisitions per EFT are listed in the Library Standards. HDR students are weighted at 1.5 for the EFT calculations.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: On the spot when changes occur

☐ Material Changes outlined in the Affiliated College Changes Policy
☐ Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

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Other metrics applied by the University Office in risk assessment:

☐ Survey data (SES, GOS, USES)
☐ Staff: Student ratio & % of FTE casual staff

## Risk Area 7: 047 Academic quality

Reporting: 065 Annual self-assurance review
- ☐ None

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Reporting: Regular
- ☐ None

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Reporting: On the spot
- ☐ Academic data response form (e.g. to attrition, progression & completion rates, and survey data)

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Other metrics applied by the University Office in risk assessment:

Data collected to demonstrate how the college meets its obligations of HESF 6.3.1.b; 6.3.2.e; 5.3.4.a; 1.3.5

- ☐ Survey data (SES, GOS, GOS-L, ESS)
- ☐ Attrition, Progression, and Completion rates

## Risk Area 8: 046 Student wellbeing & support services

Reporting: 065 Annual self-assurance review

- ☐ 028 Inclusion/Students with disabilities

*Tickit instructions:*
Please upload the college's policy (or policies) that address the approach of the college in supporting the participation and success of students with a disability or students from recognised 'Equity Groups', such as students from Aboriginal and Torres Strait Islander backgrounds.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that supports the achievement of HESF 2.2.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses the approach of the college in supporting the participation and success of students with a disability or students from identified cohorts, including Aboriginal or Torres Strait Islander students.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 029 Provision of student support services (Form required- Annual self-assurance task)

*Tickit instructions:*
- Submit college's provision of student support services form.
- Reference form provided in Tickit: Report the student support services that are offered by the college and how they are provided (e.g. internally or by referral).

Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

NOTE: Colleges with multiple campuses is required to complete the form for each campus. It is important to provide adequate statements in all areas of the form.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.3.2; 2.3.3
- Form supplied and an adequate statement provided in all the below areas:
  • Provision of Counselling
  • Provision of academic English & study skills support
  • Provision of welfare services
  • Provision of legal services
  • Provision of accommodation services
  • Provision of health services
  • Provision of student advocacy services
- The form addresses which services are provided by the college and for which are students referred to external support

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.
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Reporting: Regular

☐ 051 Access to student support services (Form required) (Annual self-assurance task)

*Tickit instructions:*
- Submit college's Access to student support services form.
- Reference form is provided in Ticki.
- Report the number of University students that accessed student support services at the college or that were referred to external services for support. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

NOTE: Colleges with multiple campuses is required to complete the form for each campus. It is important to provide adequate statements in all areas of the form.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections adequately engaged with.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.3.2; 2.3.3
- The form reports the number of students accessing support services, both those internal and external to the college.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: On the spot when changes occur
☐ Material Changes outlined in the Affiliated College Changes Policy
☐ Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au
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Other metrics applied by the University Office in risk assessment:
☐ SES Domain on Student Support

## Risk Area 9: 049 Management of incidents

Reporting: 065 Annual self-assurance review

☐ 030 Workplace Health and Safety policy

*Tickit instructions:*
- Submit the college's Workplace Health and Safety policy.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.3.4
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document should state the organisational structure that manages WH&S issues (e.g. a WH&S committee or WH&S officer) as well as an explanation of how WH&S issues are identified and managed.
-

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 034 Child protection - Child-safe institution strategy

*Tickit instructions:*
- Submit the college's Child protection policy.
- Reference template is provided in Tickit.
- Reference document is provided Tickit.
- Report the college's child protection policies and processes as well as its response as an institution to the issues of child safety. Complete and export a PDF of the completed form which is to be attached to the task to demonstrate compliance.

NOTE: The reference document provided in Tickit is an extract from the Royal Commission into Institutional Responses to Child Sexual Abuse and contains practical guidelines on implementing the Child Safe Standards. This document serves as a point of reference for one of the questions in the form.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates practice consistent with the Royal Commission

Institutional Responses to Child Sexual Abuse guidelines on implementing Child Safe Standards.
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses child protection policy and processes.

After uploading the evidence document select result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 031 Critical incidents policy

*Tickit instructions:*
- Submit the college's Critical Incident policy.
- Reference template is provided in Tickit: Colleges may upload their own document which provides equivalent information.
- Reference document is provided Tickit as a sample.

*Actions to Demonstrate Compliance:*
- The document is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.3.5; 6.2.1j; 7.2.2c; 7.3.2c
- The document has a clear expiry date and review process, and at the time of the University review taking place, has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current.
- Document addresses the following points:
  - types of critical incidents.
  - appropriate procedures for responding to incidents
  - References privacy considerations.
  - Responsibilities are designated and there is a communication and reporting mechanism.
  - The reporting mechanisms explicitly refer to the University, including directly to the Vice-Chancellor where warranted as well as using the University's Critical Incident Form.
  - It includes emergency and support service contact details
  - If the college operates "in context units" (formerly known as study tours) or other study activities in overseas locations the policy should address how a critical incident that occurs in such a location is managed.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 032 Communication of the Grievance Resolution Policy

*Tickit instructions:*
- Submit the college's Communication of the Grievance Resolution Policy.
- Reference template provided in Tickit: Colleges may upload their own document/URL to a website location demonstrating how the policies are communicated.

*Actions to Demonstrate Compliance:*
- The document/ information is in place and is current.
- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF 2.4; 7.2.2.f
- Document/information addresses how the college communicates the University's grievance resolution policies for students,

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

☐ 148 Sexual Assault & Sexual Harassment Contact Officer (SASH Contact Officer - Form required)

*Tickit instructions:*
- Submit college's SASH Contact Officer form.
- Reference form provided in Tickit to report the SASH Contact officer.
- In the SASH Contact Officer form, describe how students are made aware of the College and the University's approach to matters of Sexual Assault and Sexual Harassment.
- Reference document is provided Tickit as an example of how colleges might make students aware of the College and the University's approach to matters of Sexual Assault and Sexual Harassment.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections are adequately engaged with.
- The form outlines how the college supports the achievement of HESF 2.3.2; 2.3.3
- The form identifies the Affiliated College SASH Contact Officer and date of training by the University SASH Officer, and a description of how students are made aware of the College and the University's approach to matters of Sexual Assault and Sexual Harassment.  After uploading the form select result status 'This Task is Compliant'.

If an appropriately trained Affiliated College SASH Contact Officer has been reported but students have not been made aware of the College and the University's approach to matters of Sexual Assault and Sexual Harassment, select the status 'In Progress' and indicate a time frame for submitting the required information in the notes section. If there is no available appropriately trained Affiliated College SASH Contact Officer, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: Regular
- ☐ None

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Reporting: On the spot
- ☐ Critical incident reports
- ☐ Formal grievance reports
- ☐ Academic misconduct incident

Reporting: On the spot when changes occur
- ☐ Material Changes outlined in the Affiliated College Changes Policy
- ☐ Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

## Risk Area 10: 050 Quality management

Reporting: 065 Annual self-assurance review

- ☐ 204 Overseas Student Liaison Officer Contact (OSLO Contact Officer - Form required)

   *Tickit instructions:*
   - Submit college's OSLO Contact Officer Form.
   - Reference form provided in Tickit to report the OSLO Contact officer.

- In the OSLO Contact Officer Form, describe how students are made aware of the Overseas Student Liaison Officer Contact details.
- In the form declare if the OSLO Contact Officer has received training of the affiliated college's obligations under the ESOS framework and the potential implications for overseas students arising from the exercise of these obligations.

*Actions to Demonstrate Compliance:*
- The form is supplied, and sections are adequately engaged with.
- The form outlines how the college supports the achievement of National Code: Standard 6.7
- The form identifies the Affiliated College OSLO Contact Officer and a description of how students are made aware of the Overseas Student Liaison Officer Contact details. After uploading the form select result status 'This Task is Compliant'.

If an appropriately trained Affiliated College OSLO Contact Officer has been reported but students have not been made aware of the Overseas Student Liaison Officer Contact details, select the status 'In Progress' and indicate a time frame for submitting the required information in the notes section.

If there is no available appropriately trained Affiliated College OSLO Contact Officer, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.
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Reporting: Regular

- ☐ Website audit - representations – Quality Department Audit

- ☐ 141 National Code Compliance Review (Affiliated colleges with CRICOS sites only)

*Tickit instructions:*
- Submit the college's National Code Review.
- Complete the spreadsheet provided in Tickit as a Reference Document. Follow the instructions outlined in the "Instruction" tab on the workbook to complete the spreadsheet. Upload the evidence as indicated in the instruction tab.

National Code available at: https://www.legislation.gov.au/Series/F2017L01182
Additional resources and commonly asked questions can be found at:
- https://internationaleducation.gov.au/regulatory-information/Pages/National-Code-2018-Factsheets-.aspx
- https://www.education.gov.au/esos-framework/national-code-practice-providers-education-and-training-overseas-students-2018

*Actions to Demonstrate Compliance:*
- The spreadsheet is adequately engaged.

- Adequate document provided approved through appropriate governance (not draft) that demonstrates how the college meets its obligations of HESF; 1.1, 1.3, 2.3, 2.4, 5.4, 7.2, 7.3,
- Relevant evidence is provided as outlined in Column C of the spreadsheet.
- The document addresses the standards of the National code outlined in the spreadsheet.

After uploading the evidence document select the result status 'This Task is Compliant'. If a draft version is uploaded, select the status 'In Progress' and indicate a time frame for submitting the final approved version in the notes section. If the evidence document is not available, please select the status 'This Task is Not Compliant' and provide explanatory comments in the notes section.

Other notes: You may provide a simple description of the uploaded file in the field 'Description' (optional). If you select the status 'In Progress' it is NOT necessary to select a % complete figure.

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Reporting: On the spot
- ☐ Academic data response form

Reporting: On the spot when changes occur
- ☐ Material Changes outlined in the Affiliated College Changes Policy
- ☐ Any change in any of the areas/documents outlined in the above risk is to be updated immediately in Tickit and the Quality department notified quality@actheology.edu.au

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Other metrics applied by the University Office in risk assessment:
- ☐ Identified issues by moderators
- ☐ Tickit task compliance report
- ☐ Completion of other reporting required of affiliated colleges
- ☐ Responses to Moderation reports
- ☐ Responses to issues identified by the University office and AQC to survey data or academic data
- ☐ Input from senior management of the University to any concerns of Quality Management of a college