



SECURITY LICENSING & ENFORCEMENT  
DIRECTORATE

# NSW SECURITY LICENCE COURSE

CONDITIONS OF APPROVAL



# DOCUMENT CONTROL SHEET

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2.0		Assistant Director (Industry Regulation)	<p>Added 'delegate' requirements</p> <p>Amendments to Condition 3 Amendments to Chapter 8 and Chapter 9</p> <p>Changes made to reflect Legislative changes to the Security Industry Act 1997, including license class requirements per Chapter 3 (Section 3.1 to 3.5).</p> <p>Changes made to reflect updates to TAE qualification and Approved Trainer requirements per Chapter 5.</p> <p>Changes made to reflect the restructure and design of Assessment Tasks and Clustering relating to each licence class and SLED Mandated Assessments.</p> <p>Strengthening and clarifying intent and requirements in relation to various chapters.</p> <p>Removal of Condition 11, and subsequent re-alignment of sequencing of Conditions thereafter.</p>

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## INTRODUCTION

The Security Licensing & Enforcement Directorate (SLED) was established (as the Security Industry Registry) in January 1998. SLED is responsible for administering the *Security Industry Act 1997* (the Act) and associated regulations, including:

- identifying and investigating non-compliance with security industry legislation, both proactively and in response to reports from industry and the community
- ensuring the integrity and effectiveness of training and assessment delivered by SLED approved Registered Training Organisations (RTOs) for security licensing purposes

SLED approves RTOs (Approved Organisations) and suitably qualified persons (Approved Trainers) to provide training for security licensing purposes (Security Training). Approved Organisations are subject to Conditions of Approval to ensure the integrity and effectiveness of the Security Training. SLED determines the assessment requirements for this training (the NSW Security Licence Course), incorporating industry feedback, to ensure that the licensing outcomes of the training are achieved.

This document outlines the Conditions of Approval that apply to each Approved Organisation and Approved Trainer delivering the NSW Security Licence Course (SLC). This document also outlines the regulatory framework and requirements that relate to each condition. These Conditions of Approval replace any previous Conditions of Approval imposed on Approved Organisations. It is important to note that SLED may also impose further specific conditions on an Approved Organisation or an Approved Trainer.

SLED's Training Regulation team is comprised of auditors who hold relevant Vocational Education and Training (VET) qualifications and experience, as well as relevant regulatory and compliance expertise. Each auditor is an Enforcement Officer under the Act. This authorises them to use a range of Enforcement Powers to conduct audits, carry out investigations, obtain records and make the necessary inquiries to ensure that Approved Organisations and Approved Trainers are compliant with the Conditions of Approval. Information about SLED's Training Regulation program is contained in [Chapter 13](#) of this document.

Approved Organisations and Approved Trainers have a significant role to play in achieving a safe and secure NSW by ensuring quality Security Training, thus promoting a competent, ethical, and professional security industry in NSW. SLED aims to provide a regulatory framework that ensures Approved Organisations and Approved Trainers deliver high-quality Security Training that meets licensing requirements, as well as industry and community expectations.

## GLOSSARY OF TERMS

**Alternate Delivery Modes:** delivery modes other than face-to-face or classroom teaching, which may involve a variety of media to deliver learning resources to students in a range of situations. This may include online delivery, eLearning resources, pre-reading materials and distance learning.

**Approved Organisation:** means an RTO approved by ASQA to deliver security qualifications in NSW that has been granted approval pursuant to section 27A(1) of the Act by SLED to conduct an SLC.

**Approved Organisation Audit Feedback Report:** means a report provided by SLED to an Approved Organisation following completion of an audit of an SLC. The report summarises any non-compliance with Conditions of Approval identified within the scope of the audit. It also lists any education/advice provided to, or corrective action required by, the Approved Organisation.

**Approved Trainer:** means the holder of a NSW Class 2D security licence who is approved by SLED to carry on training, assessment or instruction with an Approved Organisation pursuant to section 27A(1) of the Act and under **Condition 5** of the Conditions of Approval.

**AQF Certification:** means the set of Australian Qualification Framework official documents that confirms that a qualification has been completed and awarded to an individual.

**Assessment:** means the process of collecting evidence to judge whether competency has been achieved and to confirm that an individual can perform to the standard required in the workplace, as specified in a training package.

**Assessment task:** means an assessment activity or process that is designed to evaluate a student's competency against specific knowledge or performance criteria.

**ASQA:** means the Australian Skills Quality Authority, the national regulator for Australia's Vocational Education and Training sector. ASQA regulates courses and training providers under the *National Vocational Education and Training Regulator Act (Clth) 2011* to ensure nationally approved quality standards are met.

**Audit:** means observation, monitoring or review by SLED of the delivery of an SLC, including obtaining information from Approved Trainers, students and other staff of the Approved Organisation and the inspection and/or examination of security training records by Enforcement Officers for the purposes of determining compliance with the Act.

**Student Workbook:** means the workbook provided to the Approved Organisation to be used to record student assessment responses in the SLED Pre-Enrolment Assessment or any SLC or SLC Cluster.

**Certificate:** means the set of official documents issued by an Approved Organisation that confirms that a qualification has been issued to an individual.

**Close Associate:** as defined in section 5 of the Act.

**Competency:** means the consistent demonstration of the application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

**Competency Requirements:** refers to the specific units of competency, aligned with the Certificate II in Security Operations or any subclass licence course, as outlined in Chapter 3.

**Conditions of Approval:** means any or all of the conditions set out in the Conditions of Approval on pages 7 to 9 of this document.

**Current industry skills:** means the knowledge, skills and experience required by Approved Trainers to ensure that their training and assessment is based on current industry practices and meets the needs of industry, as defined in the *Standards for RTOs 2015*.

**Delegate:** means a person who has been nominated by an Approved Organisation, to assist with the conduct of simulated and summative assessments in an SLC, as outlined in **Chapter 9**.

**Enforcement Officer:** means police officer, or any other members of the NSW Police Force who are authorised by the Commissioner in writing to exercise the functions of an Enforcement Officer under the Act.

**Enforcement Powers:** means the powers that may be exercised by Enforcement Officers under Part 3B of the Act.

**Entry Requirements:** means requirements that are specific to the knowledge and skills needed to enter and successfully undertake an SLC.

**Induction:** means a structured method of introducing an Approved Trainer to the Approved Organisation, including explaining the Approved Organisation's policies and procedures and their obligations under these Conditions of Approval.

**Instrument of Approval:** means the document issued by SLED evidencing the granting of approval to an RTO or individual, pursuant to section 27A(1) of the Act, to deliver an SLC or SLC Cluster.

**Nominated Person:** means the person identified on the Master licence certificate of the Approved Organisation, being a close associate of the licensee and involved in the day-to-day conduct of the security activities authorised by the licence.

**NSWPF SLC documents** means:

- » SLED Pre-Enrolment Assessment – Student Workbook
- » SLED Pre-Enrolment Assessment – Assessor Guide
- » SLED Approved Assessor Guide
- » SLED SLC Assessment Guidelines
- » Cluster 1 – Security Industry Fundamentals – Student Workbook
- » Cluster 1 – Security Industry Fundamentals – Assessor Guide
- » Cluster 2 – Patrol, Monitor and Screen – Student Workbook
- » Cluster 2 – Patrol, Monitor and Screen – Assessor Guide
- » Cluster 3 – Protect Self and Others – Student Workbook
- » Cluster 3 – Protect Self and Others – Assessor Guide
- » Cluster 4 – Manage Behaviour of Others – Student Workbook
- » Cluster 4 – Manage Behaviour of Others – Assessor Guide
- » 1B Bodyguard Licence Course – Student Workbook
- » 1B Bodyguard Licence Course – Assessor Guide
- » 1C Cash-in-Transit Guard Licence Course – Student Workbook
- » 1C Cash-in-Transit Guard Licence Course – Assessor Guide
- » 1D Guard Dog Handler Licence Course – Student Workbook
- » 1D Guard Dog Handler Licence Course – Assessor Guide
- » 1F Armed Guard Licence Course – Student Workbook
- » 1F Armed Guard Licence Course – Assessor Guide
- » NSW Security Licence Course- Security Officer Handbook

**NSW Security Licence Course:** means any courses approved by SLED to be delivered by an Approved Trainer engaged by an Approved Organisation to meet the Competency Requirements for Class 1 Licences contained in [Chapter 3](#) of this document.

**NWSPF:** means New South Wales Police Force

**NVETR Act:** means the *National Vocational Education and Training Regulator Act 2011 (Cth)*.

**NVR:** means National VET Regulator; that being ASQA

**Observation Checklist:** means a list of questions or criteria an Approved Trainer must address when they are observing and assessing a student undertaking a SLED mandated assessment.

**Principle of Assessment:** means the same as Table 1.8-1 in Clause 1.8 of the *Standards for RTOs 2015*.



**Registered Training Organisation:** means a training provider registered by ASQA to deliver VET services and recognised as a provider of quality-assured and nationally recognised training and qualifications. A Registered Training Organisation is also referred to in this document as an “RTO”.

**Rules of Evidence:** means the same as Table 1.8-2 in Clause 1.8 of the *Standards for RTOs 2015*.

**Safety Brief:** a document prepared by the Approved Organisation that is relevant to the type of training and assessment being conducted and includes specific rules and regulations relevant to the venue, resources and practice that is to be undertaken. The Safety Brief should contain Emergency / Evacuation Procedures, First Aid Procedures and information on how the Approved Organisation will comply with Work Health and Safety obligations.

**Scope of registration:** has the same meaning as defined in the NVETR Act.

**Security activity:** has the same meaning as defined in section 4 of the Act.

**Security qualifications** means:

- » CPP20218 – Certificate II in Security Operations and/or
- » CPP31418 – Certificate III in Close Protection Operations and/or
- » CPP31318 – Certificate III in Security Operations
- » Statement of attainment in relation to all UoCs contained in an SLC Cluster

**Security Training:** means training and assessment of any SLC, or SLC Cluster, delivered by an Approved Trainer engaged by an Approved Organisation.

**Security Licence Course:** means a security licence course that is approved by SLED, also referred to as “SLC”.

**SLC Assessor Guide:** means a guide containing instructions for conducting the individual SLED mandated assessment activities for an SLC or SLC Cluster, including assessment criteria and model answers for each summative assessment.

**SLC Cluster:** one or more Units of Competency clustered together for delivery and assessment as part of an SLC as specified **Chapter 3** this document.

**SLC for Security Officers:** means the SLC that contains the competency requirements for security licence subclass 1A – Security Officer.

**SLC for Specialist licence subclasses:** means the SLC that contains the competency requirements for security licence subclasses 1B – Bodyguard, 1C – Cash-in-Transit Guard, 1D – Guard Dog Handler and 1F – Armed Guard.

**SLED:** means the Security Licensing & Enforcement Directorate of the NSW Police Force.

**SLED mandated assessment:** means any summative assessment contained in the SLC documents that is used to determine the competency of a student undertaking the SLED Pre-Enrolment Assessment or any SLC or SLC Cluster assessment.

**SLED Pre-Enrolment Assessment:** means an assessment document supplied by SLED to an Approved Organisation to be used to determine the learning support needs of a prospective learner prior to accepting their enrolment in an SLC or SLC Cluster in accordance with **Condition 16**.

**SLED regulatory requirements:** means

- this document, the Conditions of Approval
- SLC documents
- any specific conditions issued by SLED in relation to an Approved Organisation’s approval
- any specific conditions issued by SLED in relation to an Approved Trainer’s approval
- any specific conditions imposed by SLED on the approval of a particular SLC.



**Statement of Attainment:** means a statement issued by an RTO to a person confirming that the person has satisfied the requirements of the unit/s of competency specified in the statement.

**Standards for RTOs 2015:** means *the Standards for Registered Training Organisations 2015*, which form the regulatory standards for training providers and regulators.

**Student Attendance Sheet:** means a document recording the date, start time, finish time and signature for each student in attendance at a face-to-face session of an SLC Cluster or Licence course in accordance with **Condition 17** and **Chapter 10** of this document.

**Subcontracting Arrangements:** means any agreement between an Approved Organisation and a third-party organisation or person to, in part or in full, provide training, instruction or assessment for an SLC.

**The Act:** means the *Security Industry Act 1997*.

**Training:** means the process used by an RTO to facilitate learning and the acquisition of competencies in relation to the training product on the RTO's scope of registration.

**Training records:** means any records, documents and forms associated with the delivery of an SLC or SLC Cluster that must be kept by the Approved Organisation, as specified in Condition 21.

**Unit of Competency:** contains the specification of knowledge and skill in a particular subject, and the application of that knowledge and skill, to the standard of performance expected in the workplace (abbreviated in this document as "UoC").

**VET:** means Vocational Education and Training.

**VET Quality Framework:** has the same meaning as defined in the NVETR Act.

# CONDITIONS OF APPROVAL

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## CONDITIONS OF APPROVAL

### Condition No. 1

The Approved Organisation must continue to hold the Master licence, issued under the Act, that is specified in its Instrument of Approval.

### Condition No. 2

The Approved Organisation must:

- a) remain an RTO and continue to hold the ASQA Registration number that is specified in its Instrument of Approval, and
- b) retain the Certificate II in Security Operations and/or Certificate III in Security Operations and/or Certificate III in Close Protection Operations qualification/s on its scope of registration as a RTO, and
- c) comply with Ongoing Approval Requirements for Approved Organisations contained in [Chapter 1](#) of this document, and
- d) comply with the Code of Conduct contained in [Chapter 2](#) of this document.

### Condition No. 3

The Approved Organisation must ensure that any training, assessment or instruction in any SLC or SLC Cluster, as specified in the 'Competency Requirements for Class 1 Licences' in [Chapter 3](#) of this document, is conducted in accordance with the SLED regulatory requirements.

### Condition No. 4

The Approved Organisation must comply with the VET Quality Framework (see [Chapter 4](#)).

### Condition No. 5

The Approved Organisation must not employ or engage any person to carry on any training, assessment or instruction in relation to any SLC or SLC Cluster specified in [Chapter 3](#) of this document without prior written approval from SLED. The application process and requirements for Approved Trainers are contained in [Chapter 5](#) of this document.

### Condition No. 6

The Approved Organisation must not enter into any Subcontracting Arrangements to provide persons to carry on training, assessment or instruction in any SLC or SLC Cluster specified in [Chapter 3](#) of this document, with the exception of Provide First Aid or Provide Advanced First Aid, without prior written approval from SLED. The application process and requirements relating to Subcontracting Arrangements are contained in [Chapter 6](#) of this document.

### Condition No. 7

The Approved Organisation must ensure that all Approved Trainers are aware of and comply with these Conditions of Approval, the Code of Conduct in [Chapter 2](#), requirements for Approved Trainers contained in [Chapter 5](#), and the SLC delivery requirements in [Chapter 9](#) of this document.

### Condition No. 8

All face-to-face training and SLED mandated assessments for all SLCs must be wholly conducted in NSW. The premises or location at which the SLC or SLC Cluster is conducted must comply with the Venue Requirements contained in [Chapter 7](#) of this document.

### Condition No. 9

All notifications, requests for approval and other communication between the Approved Organisation and SLED, to which these Conditions refer, must be made in accordance with the Notification, Approval and Communication Requirements contained in [Chapter 8](#) of this document.

### Condition No. 10

Any training, instruction or formative assessments conducted via an Alternate Delivery Modes must comply with the requirements contained in [Chapter 9](#) of this document.

### Condition No. 11

A Training and Assessment Session Plan must be submitted to SLED with each request to approve an SLC or SLC Cluster as per the requirements contained in [Chapter 9](#).

### Condition No. 12

All SLED mandated assessments for each SLC or SLC Cluster must be conducted by an Approved Trainer in a supervised, face-to-face environment and in accordance with the instructions provided in the SLC Assessor Guides for each SLC Cluster or Licence course and the requirements contained in [Chapter 9](#) of this document.

### Condition No. 13

The Approved Organisation or the Approved Trainer must not provide or make available to students, or any other person not employed for the purposes of the delivery of any SLC or SLC Cluster, either by way of hard copy or in a digital format, copies of the SLC Assessor Guides, assessment answers, marking guides, notes or guidance material contained within any SLC Documents, in accordance with [Chapter 9](#) of this document. The content of these documents must not be communicated or otherwise made known to students or any other person not employed for the purposes of the delivery of an SLC or SLC Cluster.

The content of the SLC Assessor Guides must not be reproduced or published, in whole or in part, in the Approved Organisation's learning materials.

This condition does not prevent Approved Trainers from providing necessary feedback to students at the conclusion of assessment tasks.

This condition does not apply to requests from ASQA for the purposes of an ASQA audit or compliance with a Notice issued under the NVETR Act.

### Condition No. 14

The identity of each student, including their Unique Student Identifier (USI), must be verified by the Approved Organisation prior to the student being enrolled into an SLC, in accordance with the requirements contained in [Chapter 9](#) and [Chapter 10](#) of this document.

### Condition No. 15

Before each student commences in an SLC, the Approved Organisation must:

- a) provide the student with a copy of SLED Fact Sheet 6, which outlines NSW security licence eligibility requirements,
- b) require the student to complete and sign Form P1016 acknowledging the provision of SLED Fact Sheet 6, and
- c) attach the completed form to the student's file maintained by the Approved Organisation.

SLED Fact Sheet 6 and Form P1016 are contained in [Chapter 11](#) of this document and are not subject to **Condition 13**.

### **Condition No. 16**

The SLED Pre-Enrolment Assessment must be administered for each student prior to their enrolment in any approved SLC or SLC Cluster. The Approved Organisation must confirm through the assessment that the student has the capacity to satisfactorily complete the course and achieve the required competency standard prior to their commencement of an SLC or SLC Cluster. SLED must be notified of the outcomes of the SLED Pre-Enrolment Assessment in accordance with the requirements contained in [Chapter 8](#).

### **Condition No. 17**

A Student Attendance Sheet must be completed for each day of face-to-face training and/or assessment during an SLC or SLC Cluster in accordance with the requirements contained in [Chapter 12](#) of this document.

Attendance and participation in Alternate Delivery Modes of training must be recorded in accordance with requirements contained in [Chapter 9](#) and [Chapter 12](#) of this document.

### **Condition No. 18**

The Approved Organisation must ensure compliance with the requirements contained in [Chapter 7](#) and [Chapter 9](#) when face-to-face training and assessment is conducted.

### **Condition No. 19**

The Approved Organisation must ensure that the class size for any SLC or SLC Cluster does not exceed a ratio of 20 students to one Approved Trainer, per face-to-face training or assessment session, unless prior written authorisation is requested and obtained from SLED.

### **Condition No. 20**

The Approved Organisation must retain, for a minimum of three years, all documents relating to any SLC or SLC Cluster. This includes the SLED Pre-Enrolment Assessment, the Student Workbook for each SLC or SLC Cluster attempted, evidence of all online training as contained in [Chapter 9](#), and all other documents supporting the issuance of an AQF certification document.

### **Condition No. 21**

Approved Trainers employed or engaged by the Approved Organisation, and persons responsible for the day-to-day management of the Approved Organisation, must attend all mandatory information sessions conducted by SLED unless otherwise exempted in writing by SLED.

The background of the entire page is a dark blue gradient. Overlaid on this are several abstract, white geometric patterns. These consist of thin lines that are mostly horizontal or vertical, with some diagonal segments. At the ends of these lines are small white circles. The patterns are scattered across the page, with some clusters and some isolated lines. The overall effect is a modern, technical, or architectural aesthetic.

# CHAPTER 1:

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## Ongoing Approval Requirements for Approved Organisations

## CHAPTER 1: ONGOING APPROVAL REQUIREMENTS FOR APPROVED ORGANISATIONS

All Approved Organisations must comply with the following requirements:

1. In accordance with the conditions<sup>1</sup> of the Approved Organisation's Master licence, notify SLED within 14 calendar days of any change in the particulars in respect of the Master licence specified in its Instrument of Approval. This includes any change to the Nominated Person or Close Associates of the Approved Organisation.
2. Notify SLED of any intent to change the ownership of the Approved Organisation a minimum of seven calendar days prior to any such change taking place. The Commissioner's Approval is not transferable, and any change in ownership of the Approved Organisation will require a new application for Approval to conduct security training, assessment and instruction. Changes in shareholdings do not need to be reported unless they result in a change of the individual or corporation in control of the day-to-day conduct of the Approved Organisation.
3. Notify SLED in writing within 24 hours if the Approved Organisation, or any of its Directors, or any other Close Associate, is placed in liquidation or bankruptcy or in the hands of an administrator or an official receiver.
4. Respond to any SLED phone and email communications within 72 hours where required or requested.
5. (a) Notify SLED in writing within five business days when the Approved Organisation becomes aware of any of the following actions by ASQA pursuant to the NVETR Act:
  - i. any audit finding that identifies non-compliance that requires the Approved Organisation to undertake remedial action to correct
  - ii. any investigation or compliance audit that has commenced as a result of any complaint made against the Approved Organisation
  - iii. any regulatory decision to cancel, suspend or amend the scope of the Approved Organisation's registration under Section 36 of the NVETR Act.
  - iv. any imposition of any condition on the Approved Organisation's registration under Section 29(1) of the NVETR Act.
  - v. any rejection of an application to renew an Approved Organisation's registration under Section 17 of the NVETR Act.(b) Provide SLED, upon request, with the following documentation within seven calendar days:
  - i. a summary of any identified non-compliance, providing the specific reference to the Standards for Registered Training Organisations (RTOs) 2015 where non-compliance was detected by ASQA,
  - ii. a copy of any final audit report prepared by ASQA and provided to the Approved Organisation, and
  - iii. a summary of any amendments, improvements or rectifications that the Approved Organisation has proposed, is carrying out, or has completed to address any identified non-compliance.
6. Deliver a minimum of one SLC every 12 months. Failure to do so will result in a review of whether the Approved Organisation should continue to hold approval to conduct an SLC.
7. Provide SLED with information about substantial changes to the Approved Organisation's operations or any event that would significantly affect the Approved Organisation's ability to comply with its Conditions of Approval, within 48 hours of the change occurring.

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<sup>1</sup> Section 30 of the Act and Clauses 18 and 30 of the *Security Industry Regulation 2016*



8. Comply with any specific additional conditions imposed on an SLC Approval. These may include, but are not limited to, conditions pertaining to:
- the number of students per assessment session
  - the ratio of students per trainer
  - the duration of each face-to-face training day
  - the approval of a particular venue
  - requirements related to learning resources
  - requirements related to equipment required for Assessment Tasks
  - requirements for Approved Trainers to be supervised.

The background is a solid dark blue. It is decorated with an abstract pattern of thin white lines and small white circles. These elements are arranged in a way that suggests a network or a circuit board, with lines connecting various points. Some lines are straight, while others are bent at right angles. The circles are of varying sizes, with some being larger than others. The overall effect is a modern, minimalist, and technical aesthetic.

## CHAPTER 2:

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### Code Of Conduct

## CHAPTER 2: CODE OF CONDUCT

Approved Organisations are relied on by the NSWPF to conduct the SLC in a diligent, competent, professional and ethical manner to ensure the intended public safety outcomes of the security licensing regime. This Code of Conduct applies to the provision of security-related training and assessment by Approved Organisations and Approved Trainers.

### 2.1 ETHICAL DELIVERY OF THE SLC

- a) Students must not be misinformed or misled in any way about the enrolment, requirements or outcomes of an SLC.
- b) Approved Organisations and Approved Trainers must not accept any bribe. Any attempt by any persons to offer a bribe must be refused and immediately reported to SLED. A bribe is any offer of money, gift, benefit or reward that is offered to persuade a person to act other than according to their normal duties and in compliance with SLED regulatory requirements.
- c) Approved Organisations and Approved Trainers must be honest and fair when dealing with others. All decisions made by an Approved Organisation or Approved Trainer must be justifiable and free from bias and prejudice.
- d) Approved Organisations and Approved Trainers must not discriminate against any person based on disability, sex (including pregnancy and breastfeeding), race, age, marital or domestic status, sexuality, transgender status, carer's responsibilities, or religious or political beliefs, and must always abide by the *Anti-Discrimination Act 1977*.
- e) The Conditions of Approval and this Code of Conduct cannot specify all circumstances that may be ethically challenging. In difficult situations, Approved Organisations will need to consider all relevant facts and be guided in their actions and decision-making by considering the following issues:
  - Is the action/decision lawful?
  - Is the action/decision consistent with the intent of SLED's regulatory regime?
  - What are the consequences of the action/ decision for the student, public, NSWPF and the Approved Organisation?
  - Can the action/decision be justified to the NSWPF, a court or a tribunal?

### 2.2 PROFESSIONAL DELIVERY OF THE SLC

- a) The Approved Organisation must ensure all Approved Trainers maintain the necessary competence, currency and professional development and requirements as prescribed in the *Standards for Registered Training Organisations 2015* and [Chapter 5](#) of this document.
- b) Delivery of training and assessment must not include or involve:
  - learning material that a reasonable person may find offensive
  - learning material or delivery that is culturally inappropriate or insensitive
  - swearing at students and unnecessary use of offensive language generally
  - physical contact with students (other than to conduct simulated assessments)
  - favouritism or nepotism
  - derogatory comments about students or comments that could be construed as discriminatory or threatening.

## 2.3 PRIVACY AND CONFIDENTIALITY

- a) Approved Organisations and Approved Trainers must use all information pertaining to students undertaking an SLC only for the purpose for which it was originally collected. Situations where student information can be disclosed for other purposes include:
  - to prevent a serious or imminent threat to an individual's life, health or safety, or preventing a serious threat to public health or safety
  - in response to a statutory notice from SLED, ASQA or other relevant regulatory body
  - preparation for, or the conduct of, proceedings before any court or tribunal.
- b) All information related to students enrolled in an SLC must be kept securely.

## 2.4 ADVERTISING

- a) Approved Organisations must always include their Master Licence number in all advertising materials relating to an SLC in accordance with section 32(2) of the Act.
- b) Approved Organisations must not use the NSWPF insignia in any advertising material without the prior written approval of the NSWPF.
- c) Approved Organisations must not advertise, under any circumstances, an SLC on any websites or publications of other RTOs, student agents, employment agents or migration agents.
- d) Approved Organisations must not accept enrolment into an SLC via the websites of other RTOs, student agents, employment agents or migration agents.
- e) Advertising for an SLC must not be misleading regarding enrolment procedures, course cost, course requirements, course duration, course outcomes or licensing outcomes.
- f) If an Approved Organisation ceases to hold approval, all references to the SLC and any reference to SLED and the NSWPF must be immediately removed from its advertising.
- g) When an Approved Trainer ceases to hold approval, all references to their status as an Approved Trainer must be removed from the Approved Organisation's advertising, as well as social media platforms and professional networking websites associated with the Approved Organisation or the former Approved Trainer.

## 2.5 DEALING WITH COMPLAINTS OR APPEALS

- a) Approved Organisations are required to record and acknowledge all student complaints relating to an SLC and deal with them in a fair, efficient and effective manner in accordance with Standard 6 of the *Standards for Registered Training Organisations 2015*.
- b) The Approved Organisation or Approved Trainer may refer a student directly to SLED if their complaint cannot be resolved after reasonable attempts have been made and the matter relates to SLED's legislative or regulatory requirements.
- c) The Approved Organisation or Approved Trainer must report any student complaint to SLED if the allegation would constitute a breach of SLED's regulatory requirements, within 24 hours of receipt of the complaint.

## 2.6 CONFLICT OF INTEREST

A conflict of interest is a situation where an Approved Organisation or Approved Trainer could be influenced or could be perceived to be influenced by a personal interest in carrying out their duties. Conflicts of interest could include:

- employment with another Approved Organisation
- referral of students to other businesses in which the Approved Organisation or Approved Trainer

may have an interest, or for which the Approved Organisation or Approved Trainer receives a fee

- carrying out the assessment of a friend or relative
- personal beliefs resulting in an Approved Organisation or Approved Trainer treating a student with favouritism or discriminating against a student.

Approved Organisations are responsible for appropriately managing conflicts of interest; however, they may contact SLED's Manager, Training Regulation if guidance is required.

## **2.7 PUBLIC COMMENT**

Approved Organisations must ensure that any public comment made does not appear to be on behalf, or represent the views, of SLED or the NSWPF.

## **2.8 DRUGS AND ALCOHOL**

- a) Approved Organisations must have a Fitness for Work policy that covers the use of alcohol and other drugs by persons employed or provided by the organisation, in accordance with section 39B of the Act.
- b) Approved Organisations must not allow trainers to deliver a SLC if they are under the influence of drugs or alcohol.

## **2.9 COOPERATION WITH SLED**

- a) Although SLED has a regulatory role to perform, Approved Organisations should expect professional and courteous conduct from SLED Enforcement Officers in the conduct of their duty, including clear explanations, instructions and feedback. In return, Approved Organisations and Approved Trainers are expected to cooperate fully with SLED Enforcement Officers when they are undertaking audit, compliance or investigation activities. This includes:
  - allowing full access to the training venue or premises, including areas where relevant records are kept or stored
  - responding honestly and courteously to questions
  - ensuring the availability of records
  - producing or furnishing any record, document or information as requested.

Obstructing, hindering, interfering with, or failing to comply with the requirements of, an Enforcement Officer may constitute an offence under Part 3C of the Act.

- b) When providing SLED with records or information, Approved Organisations and Trainers must not:
  - provide misleading or false information to SLED enforcement officers
  - submit false or misleading records to SLED
  - deliberately omit relevant information or records requested or required by SLED
  - alter student assessment records or any other records that are required to be produced to SLED in accordance with enforcement powers
  - collude with students, staff or other persons to provide SLED with misleading or false information.

Such conduct could also constitute an offence under Part 3C of the Act.



## CHAPTER 3:

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### Competency Requirements for Class 1 Licences

## CHAPTER 3: COMPETENCY REQUIREMENTS FOR CLASS 1 LICENCES

### 3.1 SLC STRUCTURE

The SLC for a Security Officer licence (1A Security Officer) aligns to the CPP20218 Certificate II in Security Operations qualification. Successful completion of the SLC will result in the student obtaining the qualification (see Diagram 1 on page 20).

The security licence subclasses (1B, 1C, 1D and 1F) are considered “specialist licence subclasses”.

The SLC requirements for security licence subclasses; Bodyguarding (1B), Cash-in-Transit Guard (1C), Guard Dog Handler (1D) and Armed Guard (1F), as outlined below in section 3.3, are designed to specifically meet the competency requirements for those licence subclasses.

The SLC structure for each specialist licence subclasses are shown in Diagrams 2 and 3 on pages 21 and 22.

### 3.2 ENTRY REQUIREMENTS

Each SLC has specific Entry Requirements that must be met for a student to enrol and be accepted into the SLC. Students must not commence in any SLC if they do not meet the Entry Requirements shown in Diagram 1 to 3 on page 20 to 22.

Students wishing to commence an SLC for a Security Officer licence (1A Security Officer) must, prior to enrolment, complete and sign Form P1016 acknowledging the provision of SLED Fact Sheet 6 ([Am I Eligible for a NSW Security Licence?](#)) in accordance with **Condition 15**, as well as satisfactorily complete the SLED Pre- Enrolment Assessment (Certificate II level) in accordance with **Condition 16**.

Satisfactory completion of the HLTAID011 Provide First Aid is also an entry requirement for the SLC for Security Officers (Class 1A licence). SLED does not mandate the assessment tools for HLTAID011 Provide first aid.

Students wishing to commence an SLC for a specialist licence subclass must either hold a current Class 1 security licence (excluding Class 1E) or have completed the CPP20218 Certificate II in Security Operations. Students must also first satisfactorily complete the SLED Pre-Enrolment Assessment for Certificate III and hold a current HLTAID014 Provide Advanced First Aid certificate (except for enrolment into the 1C specialist licence subclass).

### 3.3 SLC FOR SPECIALIST LICENCE SUBCLASSES - QUALIFICATION OUTCOMES

#### 1B Bodyguard – Security Licence Course

The SLC for the 1B Bodyguard licence subclass is comprised of a selection of UoCs from the CPP Property Services Training Package (Release 17.0).

Successful completion of this SLC will result in a Statement of Attainment for the following UoCs:

- CPPSEC3122 Plan provision of close protection services
- CPPSEC3123 Implement close protection services

#### 1C Cash-in-Transit Guard – Security Licence Course

The SLC for the 1C Cash-in-Transit Guard licence subclass is comprised of a selection of UoCs from CPP Property Services Training Package (Release 17.0).

Successful completion of this SLC will result in a Statement of Attainment for the following UoCs:

- CPPSEC3118 Inspect and test cash-in-transit security equipment
- CPPSEC3119 Implement cash-in-transit security operations
- CPPSEC3120 Load and unload cash-in-transit in secured and unsecured environments



## 1D Guard Dog Handler – Security Licence Course

The SLC for the 1D Guard Dog Handler licence subclass is comprised of a selection of UoCs from the CPP Property Services Training Package (Release 17.0).

Successful completion of this SLC will result in a Statement of Attainment for the following UoCs:

- CPPSEC3112 Manage training and wellbeing of dogs for security functions
- CPPSEC3113 Handle dogs for security patrols

## 1F Armed Guard – Security Licence Course

The SLC for the 1F Armed Guard licence subclass is comprised of a selection of UoCs from the CPP Property Services Training Package (Release 17.0).

Successful completion of this SLC will result in a Statement of Attainment for the following UoCs:

- CPPSEC3101 Manage conflict and security risks through negotiation
- CPPSEC3102 Maintain operational safety and security of work environment
- CPPSEC3103 Determine and implement responses to security risk situation

Upon completion of this SLC, a student may apply to obtain a 1F Armed Guard licence through SLED. The 1F licence will then be issued with a condition, pursuant to 23E of the Act, requiring the licensee to complete Category H security firearms training within 12 months.

Information on how to apply for and obtain a provisional Category H Firearms Licence (Provisional Pistol Licence), including the relevant training required, can be obtained from visiting the website of the Firearms Registry via [https://www.police.nsw.gov.au/online\\_services/firearms/about\\_us](https://www.police.nsw.gov.au/online_services/firearms/about_us).

## 3.4 ASSESSMENTS

Each SLC or SLC Cluster contains a number of UoCs with a focus on holistic evidence gathering in conducting assessments.

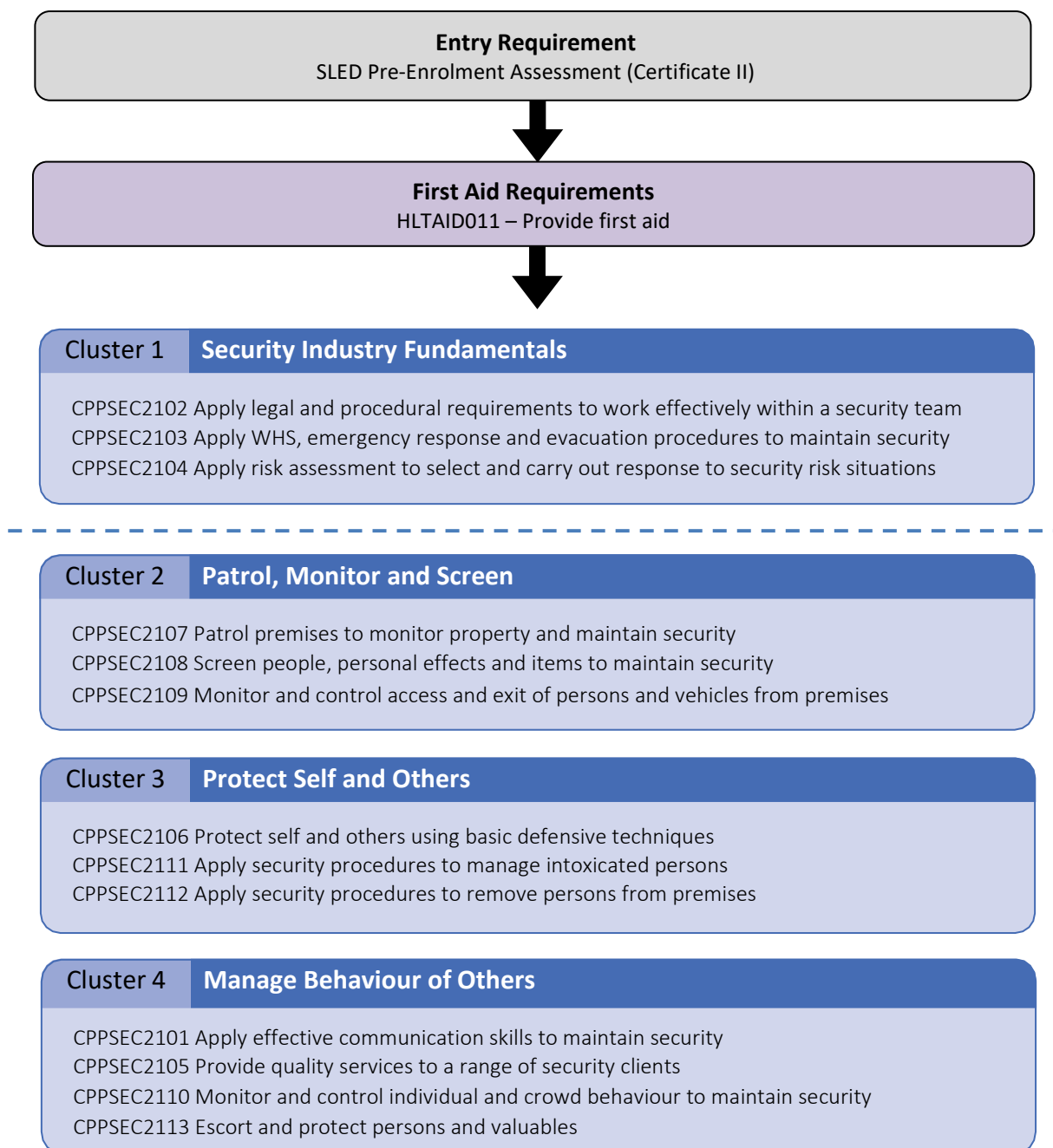
Students must attend the entire duration of each SLC or SLC Cluster and satisfactorily complete all SLED mandated assessments to be deemed competent in the UoCs.

In accordance with SLED's regulatory and licensing requirements, students must satisfactorily complete all SLED mandated assessments, within each SLC or SLC Cluster required for the licensing outcome sought.

Prior to commencing any training, instruction or assessment for Cluster 2, Cluster 3 or Cluster 4, the Approved Trainer must have assessed each enrolled student as having satisfactorily completed Cluster 1, and the associated UoCs in their entirety.

Training, assessment or instruction in any SLC or SLC Cluster (see pages 20 - 22) must be conducted in accordance with SLED regulatory requirements.

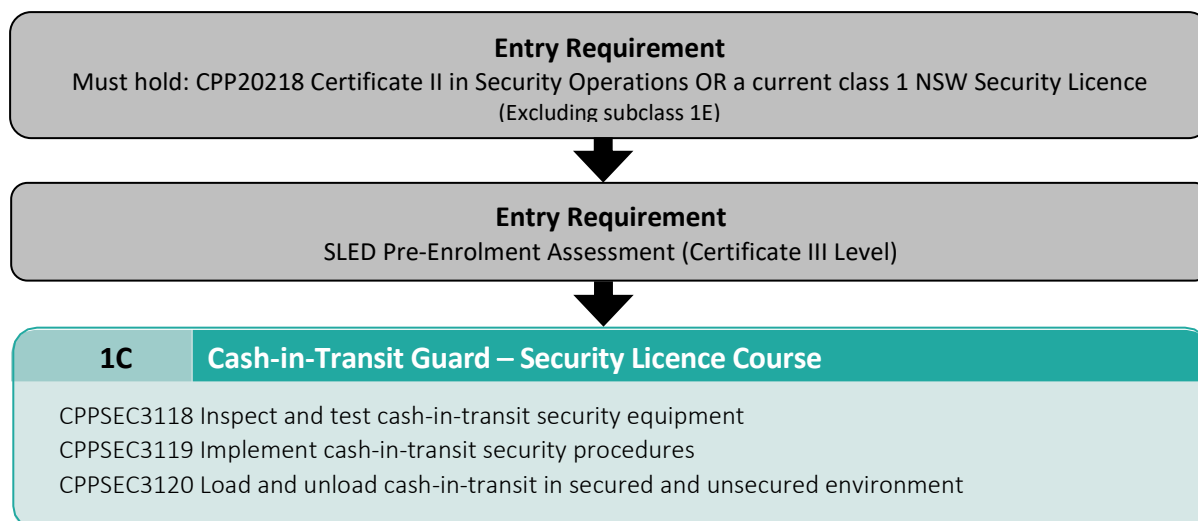
### 3.5 COMPETENCY REQUIREMENTS FOR CLASS 1 LICENCES



**Diagram 1: NSW Security Licence Course – Class 1A**  
(Security Officer)

Indicates that the student must have successfully achieved competency of Cluster 1 prior to commencing Cluster 2, Cluster 3 or Cluster 4 of the class 1A SLC.

## SUBCLASS LICENCE STRUCTURE



**Diagram 2: NSW Security Subclass Licence Course – Class 1C**  
(Cash-in-Transit Guard)

## SUBCLASS LICENCE STRUCTURE

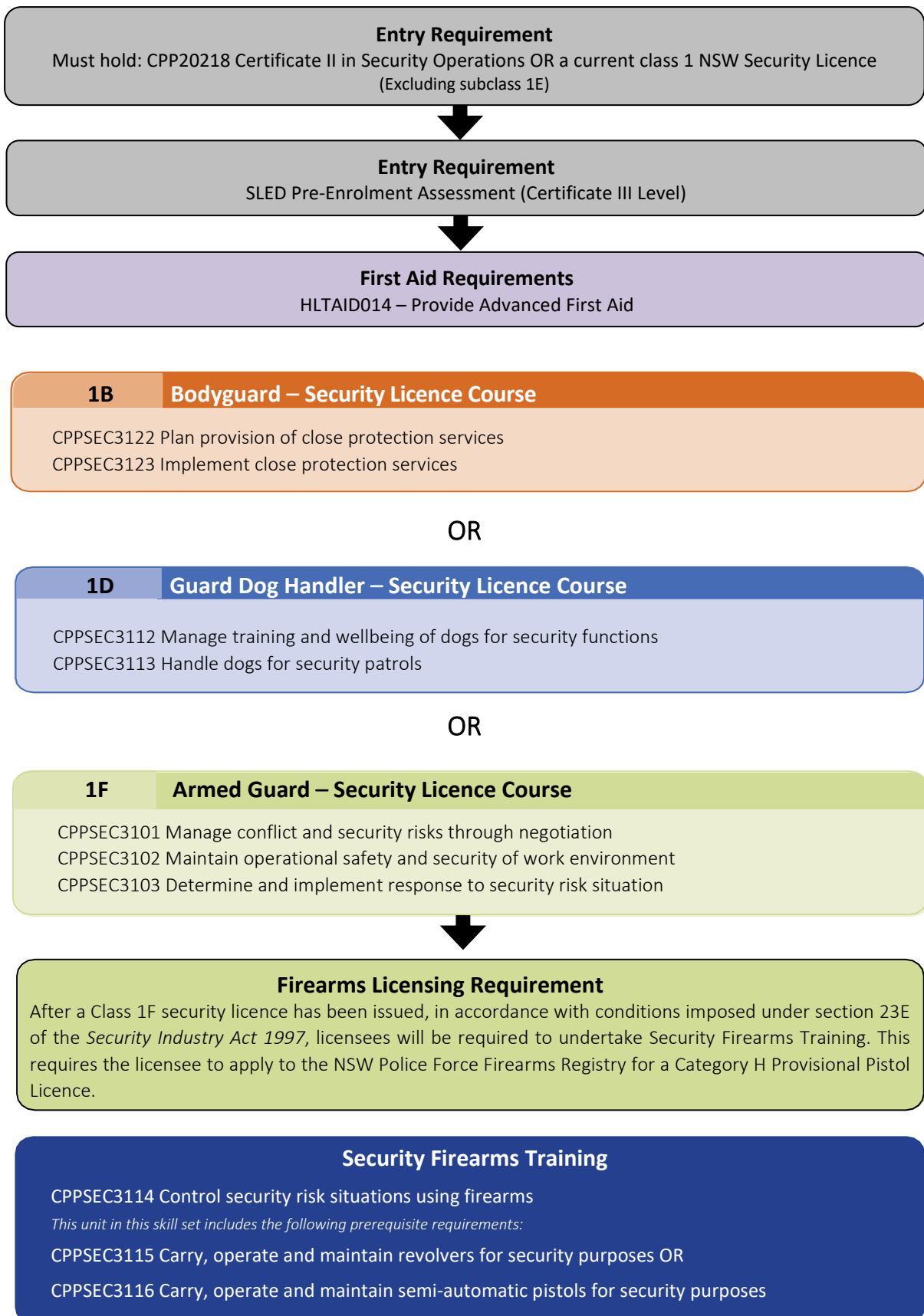


Diagram 3: NSW Security Subclass Licence Courses – Class 1B, 1D and 1F  
(Bodyguard, Guard Dog Handler, Armed Guard)

### 3.6 CREDIT TRANSFERS

An Approved Organisation may grant a Credit Transfer if all of the UoCs within an SLC or SLC Cluster have been achieved through a current Approved Organisation, in accordance with the SLED regulatory requirements, on or after 1 June 2023.

The Approved Organisation must notify SLED of a Credit Transfer when submitting the SLC Student Enrolment Notification (see [Chapter 8](#)) via email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) by providing the following information:

- The full details of the student (including full name, date of birth and USI number)
- The relevant UoCs or SLC Cluster/s relating to the Credit Transfer.
- Details of the SLC Cluster/s already achieved, including:
  - name of the SLED Approved Organisation with whom the units were achieved
  - the relevant VET Qualification or statement of attainment certificate number
  - the VET Qualification or statement of attainment issue date.

### 3.7 ASSESSMENT ONLY PATHWAY

SLED acknowledges that prospective licensees may have past relevant experience and may therefore be able to demonstrate that they possess current knowledge, skills and capabilities that may enable them to complete the SLED mandated assessments without requiring them to undertake the learning and/or training component of an SLC or SLC Cluster.

In such circumstances, the student must still complete the required SLED mandated assessment/s to be awarded the qualification or Statement of Attainment via an “Assessment Only Pathway”.

The notification of the intention to enrol a student in an Assessment Only Pathway for an SLC or SLC Cluster must be made to SLED in writing when submitting the SLC Student Enrolment Notification (see [Chapter 8](#)) via email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) and should contain the following information:

- The full details of the student (including full name, date of birth and USI number)
- The approval details of the specific SLC or SLC Cluster for which the student is exempt from undertaking the learning component (but not the assessments).
- A scanned certified copy of the student’s relevant VET Qualifications (including the relevant record of results) and/or statements of attainment.
- A copy of the student’s current curriculum vitae or resume, that specifically outlines their relevant experience.

### 3.8 DELIVERY OF UNITS OF COMPETENCY CONTAINED WITHIN THE SLC FOR NON-LICENSING PURPOSES

SLED recognises that there may be opportunities for Approved Organisations to deliver security training to already licensed individuals seeking professional development, or to individuals who have no intention to seek employment in the security industry, but for whom security training may nonetheless be relevant or simply of interest.

Approved Organisations are permitted to deliver UoCs identified in the Competency Requirements for Class 1 Licences without learners being required to complete the SLC or SLC Cluster if the training is not for security licensing purposes.

When training is not being delivered for security licensing purposes, the Approved Organisation **must not** use any NSWPF SLC documents when conducting the training and assessment and must print the words **“Not to be used for security licensing purposes in NSW”** on the bottom of any VET Qualification or Statement of Attainment issued.

Statements of attainment relating to training that has not been delivered for security licensing purposes cannot be accepted for Credit Transfer in any future SLC or SLC Cluster. Approved Organisations may, however, accept such statements of attainment to determine whether an “Assessment Only Pathway” may be suitable for a student undertaking an SLC.

Approved Organisations delivering security training for non-licensing purposes must ensure that their marketing and recruitment material and enrolment procedures clearly communicate that any qualification obtained from such training cannot be presented for security licensing purposes in NSW.



# CHAPTER 4:

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## VET Quality Framework



## CHAPTER 4: VET QUALITY FRAMEWORK

### 4.1 VET QUALIFICATION FRAMEWORK

The VET Quality Framework comprises of:

- a) the Standards for Registered Training Organisations
- b) the Australian Qualifications Framework
- c) the Fit and Proper Person Requirements
- d) the Financial Viability Risk Assessment Requirements
- e) the Data Provision Requirements.

It is the responsibility of the Approved Organisation to ensure that all security training activities carried out in conducting the SLC comply with the VET Quality Framework.

If SLED identifies non-compliance with Condition 4 that may have an impact on licensing outcomes, a non-compliance investigation may be initiated by SLED to determine whether the Approved Organisation has delivered training, assessment or instruction to the Commissioner's satisfaction.

For example, if an Approved Organisation fails to conduct assessments in accordance with the Principles of Assessment and the Rules of Evidence, SLED may commence an investigation to determine what impact (if any) has occurred in terms of licensing outcomes.

If SLED detects non-compliance with any aspect of the VET Quality Framework, the matter may be referred to ASQA and, if required, other government regulatory bodies.

Approved Organisations are reminded that Standard 8 (Clause 8.5) of the *Standards for Registered Training Organisations 2015* requires RTOs to comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. In the event of conflict or inconsistency between the VET Quality Framework and the SLED regulatory requirements, the SLED regulatory requirements shall apply.

### 4.2 ISSUANCE OF SUPERSEDED UNITS

In the event a unit of competency that forms part of any security licence qualification becomes superseded, Approved Organisations must develop a strategy to address any skills or knowledge gaps between the current and superseded unit(s), in order to satisfy the Training Packaging rules as contained in Clauses 1.26 to 1.27 – Manage transition from superseded training products of the Standards for RTOs 2015.



# CHAPTER 5:

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## Approved Trainers

## CHAPTER 5: APPROVED TRAINERS

### 5.1 CRITERIA TO BECOME AN APPROVED TRAINER

SLED requires individuals nominated to become Approved Trainers to meet the following criteria:

- hold a current NSW Class 2D (Security Trainer) licence
- hold the relevant subclass of NSW Security Licence that they intend to deliver and assess
- demonstrate ongoing compliance with all conditions imposed on their NSW Security licence
- hold the minimum vocational Training and Assessment qualifications as follows:
  - » TAE40122 Certificate IV in Training, and Assessment or its successor; or
  - » TAE40116 Certificate IV in Training, and Assessment or
  - » TAE40110 Certificate IV in Training and Assessment, *which must include either:*
    - TAE40110 Address adult language, literacy or numeracy skills or its successor, or
    - TAE40110A Address adult language, literacy and numeracy skills.*and must also include one of the following:*
  - TAE40110 Design and develop assessment tools or its successor, or
  - TAE40110A Design and develop assessment tools, or
  - TAE40110B Design and develop assessment tools.
- demonstrate vocational (industry) competencies at least to the level to be delivered and assessed
- demonstrate continuing development of VET knowledge and skills, as well as maintaining industry currency and trainer/assessor competence
- successfully address all aspects of the Approved Trainer Application and Assessment process as outlined in this chapter.

### 5.2 APPLICATION PROCESS

An Approved Organisation intending to employ a new trainer must apply to SLED for approval of that trainer on the trainer's behalf. The Approved Organisation must complete an 'Approved Organisation Trainer/Assessor Nomination Form (P1128)' located on SLED's website and email the application to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au).

All information and supporting documentation sought on the application form must be provided at the time of application for the assessment process to commence.

All documentation, certifications, or letter of support must be verified by the Approved Organisation as being true and authentic prior to submission.

SLED will not accept an *Approved Organisation Trainer/Assessor Nomination Form* without the supporting documentation.

### 5.3 ASSESSMENT PROCESS

SLED undertakes comprehensive assessments of all Approved Trainer applications made pursuant to section 27A of the Act, taking into account all available relevant information regarding the eligibility and suitability of the applicant.

Assessment of the application includes:

- a comprehensive probity check based on all NSWPF holdings that relate to the suitability of the individual to become an Approved Trainer
- a review of all training qualifications and licence classes to ensure that they meet the requirements for training and assessment proposed in the application
- enquiries to verify the information contained on curriculum vitae/resume or trainer matrix
- checks with the NSWPF Professional Standards Command in relation to former NSWPF employees

If a nominee does not hold the current UoCs required for the SLC or SLC Clusters that is the subject of the application, SLED may request the submission of a trainer matrix addressing the knowledge and skills relating to the UoCs

Upon successful submission of the *Approved Organisation Trainer/Assessor Nomination Form (P1128)* the applicant may be invited to undertake an interview and formative assessment demonstration, which may require the applicant to:

- answer questions covering topics on the VET Quality Framework, role of SLED and security industry legislation, security industry knowledge and currency, ethical and professional behaviour, training and assessment practices and class administration, management, and reporting.
- conduct a formative assessment in the presence of SLED auditors to demonstrate their ability to prepare for and conduct a practical assessment, documenting their observations, and providing feedback.

While the Training Regulation team aims to complete the assessment within six weeks of receiving the application, processing may be delayed if:

- further information or supporting documents are required to assess the application
- referees or persons required to verify information/documents submitted with the application are not available
- probity checks undertaken by other areas of SLED or the NSWPF take longer than expected
- the probity assessment identifies issues that require further enquiries
- the nominated trainer is the subject of an ongoing non-compliance investigation relating to another Approved Organisation
- the nominating Approved Organisation is the subject of an ongoing non-compliance investigation

### 5.4 REVIEW OF DECISIONS

If a nomination to become an Approved Trainer is declined, privacy considerations and information classification requirements will determine what information can be provided to the Approved Organisation about the decision. The Approved Trainer may seek feedback from SLED directly regarding factors impacting the assessment of their suitability.

A decision made regarding an application to become an Approved Trainer is not an “administratively reviewable decision” as defined by section 7 of the *Administrative Decisions Review Act 1997* and is not, therefore, appealable to the NSW Civil and Administrative Decisions Tribunal.

If the nominating Approved Organisation or the nominated trainer wishes to have the decision reconsidered, they must outline the basis for their reconsideration request in writing addressed to the Director, SLED, within 14 days of the date of the decision.

If SLED agrees to undertake a review (noting SLED is not under an obligation to conduct such a review), the review will be conducted by an appropriate officer who was not involved in the initial assessment or decision. The outcome of any such review will be provided in writing, generally within 28 days of the request for the review.

## 5.5 APPROVED ORGANISATIONS' RESPONSIBILITIES RELATING TO APPROVED TRAINERS

Approved Organisations must:

- provide a full Induction to Approved Trainers to ensure compliance with **Condition 7**
- support and mentor new Approved Trainers and provide ongoing support and professional development to experienced Approved Trainers
- provide Approved Trainers with all required documentation and resources, not limited to NSWPF SLC documents, to ensure that all training, assessment and instruction is conducted in accordance with the requirements contained in **Chapter 3** and **Chapter 9** of this document.
- provide SLED with an up-to-date resume and trainer matrix for all Approved Trainers by 31 December each year, unless otherwise agreed by SLED
- ensure all Approved Trainers maintain the necessary competence, professional development and requirements as prescribed in the *Standards for Registered Training Organisations 2015*, being:
  - i. hold the required credentials (Standards 1.14 and 1.15)
  - ii. hold the vocational competencies (Standard 1.13a)
  - iii. have current industry skills directly relevant (Standard 1.13b)
  - iv. have current knowledge and skills in vocational training (1.13c)
  - v. undertake relevant professional development (Standard 1.16)
- ensure that their Approved Trainers are aware of, understand and agree to abide by the Conditions of Approval and the Code of Conduct contained in **Chapter 2** of this document
- ensure that the Approved Trainer Acknowledgement Form (see page 32) is signed by all Approved Trainers before they commence training, assessment or instruction for their first SLC for the Approved Organisation
- ensure processes are in place to review and validate all Approved Trainers' training and assessment practices
- be able to evidence support and mentoring strategies implemented in response to any non-compliance with Conditions of Approval identified on an Approved Organisation Audit Feedback Report.

## 5.6 ONGOING APPROVAL REQUIREMENTS FOR APPROVED TRAINERS

Approved Trainers must be able to demonstrate:

- **Employment Currency:** each calendar year, the Approved Trainer must undertake, and be able to evidence, a minimum of 40 hours of work for the security licence subclass(es) relating to the SLC or SLC Cluster that they are authorised to provide training, assessment and instruction.

Such evidence is to be submitted to SLED by using either the P1104 or P1205 SLED Trainer and Assessor Skills Matrix document.

- **Licence Currency:** the Approved Trainer must continue to hold each security licence subclass relevant to the SLC or SLC Cluster that they are authorised to provide training, assessment and instruction.
- **VET Currency:** the Approved Trainer must, at least every 12 months, deliver each SLC that they are authorised to provide training, assessment and instruction.

Approved Trainers must provide their employers with an up-to-date resume and a completed Trainer and Assessor Skills Matrix document by 31 December each year.

## **5.7 NOTIFYING CESSATION OF EMPLOYMENT**

Approved Organisations must notify SLED of any Approved Trainer ceasing employment or engagement within seven calendar days. Notification should be made by email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) and include the date, and a brief reason why, the employment or engagement ceased.



## APPROVED TRAINER ACKNOWLEDGEMENT FORM ACKNOWLEDGEMENT OF CONDITIONS OF APPROVAL

I \_\_\_\_\_ **Approved Trainer No.** \_\_\_\_\_

engaged by **Approved Organisation** \_\_\_\_\_

to deliver the NSW Security Licence Course, hereby acknowledge that I have read, understood, and agree to abide by, the Conditions of Approval for the NSW Security Licence Course, including:

- the Code of Conduct (Chapter 2); and
- all requirements relating to Approved Trainers (Chapter 5); and
- all requirements relating to delivery of the Security Licence Course (Chapter 9).

I understand that it is a condition of my Class 2D (Security Trainer) licence that I abide by the Conditions of Approval; that failure to do so may lead to a review by SLED of my suitability to remain an Approved Trainer; and that such a review may result in:

- suspension or revocation of my approval; and/or
- enforcement action in relation to any offence under sections 27A(3) or section 30 of the *Security Industry Act 1997*.

**Signature of Approved Trainer:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature of Witness:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Name of Witness:** \_\_\_\_\_





## NOMINATED PERSON ACKNOWLEDGEMENT FORM ACKNOWLEDGEMENT OF CONDITIONS OF APPROVAL

As the Nominated Person for **SLED Approved Organisation** \_\_\_\_\_

I \_\_\_\_\_ hereby acknowledge that I have read, understood, and agree to abide by, the Conditions of Approval for the NSW Security Licence Course, including:

- the ongoing approval requirements for Approved Organisations (Chapter 1); and
- the Code of Conduct (Chapter 2); and
- all requirements relating to delivery of the Security Licence Course (Chapter 9).

I understand that it is a condition of the approval of the Approved Organisation that I abide by the Conditions of Approval; that failure to do so may lead to a review by SLED of this Approved Organisation's approval status; and that such a review may result in:

- suspension or revocation of the approval of the Approved Organisation; and/or
- enforcement action in relation to any offence under sections 27A(3) or section 30 of the *Security Industry Act 1997*.

**Signature of Nominated Person:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature of Witness:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Name of Witness:** \_\_\_\_\_

# CHAPTER 6:

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## Application for Subcontracting Approval

## CHAPTER 6: APPLICATION FOR SUBCONTRACTING APPROVAL

Approved Organisations must not enter into any subcontracting arrangements to engage persons to carry on training, assessment or instruction in any SLC Cluster or Licence course identified in [Chapter 3](#) of this document without prior written approval from SLED.

SLED may approve subcontracting arrangements where the arrangement can be demonstrated to meet the following criteria:

- **Genuine** – the application must outline the circumstances that demonstrate a genuine need to engage the trainer as a subcontractor.
- **Specialised** – the subcontractor has specific skills and experience, and the training could not be delivered by existing Approved Trainers.
- **Limited** – the scale, scope and/or timeframe of the arrangement is limited.
- **Governance** – the Approved Organisation has robust arrangements in place to ensure appropriate oversight of the subcontractor, including ensuring their compliance with all Conditions of Approval.

Before seeking approval to provide training services via subcontracting arrangements, each proposed trainer must have:

- a Class 2D security licence
- a Master licence
- hold a security licence equivalent to the licence training and assessment being conducted
- been nominated by the Approved Organisation to become an Approved Trainer or already be an Approved Trainer.

The Approved Organisation must retain control and security of all SLC documents and ensure that any Approved Trainer engaged as a subcontractor complies with **Condition 13** in relation to those documents.

Approval of subcontracting arrangements is subject to ongoing compliance by the subcontractor with the conditions of their Master licence, as well as the conditions of the Approved Organisation's Conditions of Approval. Approval of subcontracting arrangements may be reviewed periodically by SLED.

Approved Organisations wishing to engage a person as a subcontractor must make written application to SLED via [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) attaching any relevant supporting documents.

Applications should address:

- the relevant skills/experience/resources of the nominee that are not currently available within your Approved Organisation
- the scope of the subcontracting arrangement
- the premises/location where the proposed trainer will be delivering training, assessment and instruction
- the governance arrangements that will be put in place to ensure the proposed trainer complies with the Approved Organisation's Conditions of Approval.

The background of the entire page is a dark blue gradient. Overlaid on this are several abstract, white geometric patterns. These consist of thin lines that form right-angled turns, creating a sense of movement and structure. Small white circles are placed at the ends of these lines, some acting as starting or ending points for the paths. The patterns are distributed across the page, with some more complex and dense than others, adding a modern, technical feel to the design.

## CHAPTER 7:

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### Security Licence Course Venue and Learning Resource Requirements

## CHAPTER 7: SECURITY LICENCE COURSE VENUE AND LEARNING RESOURCE REQUIREMENTS

### 7.1 SAFE ENVIRONMENT

- a) Approved Organisations must ensure that all students have access to a safe and comfortable learning environment, free from risk or hazard, and that each training venue complies with local government building, health and safety requirements.
- b) The conduct of all training and assessment must comply with the relevant legislation and/or legal frameworks, including the *Work Health & Safety Act 2011*.
- c) The Approved Organisation must have adequate first aid equipment and supplies.
- d) The Approved Organisation must have an Emergency Plan. Guidance can be found at [www.safework.nsw.gov.au](http://www.safework.nsw.gov.au).
- e) The Approved Organisation must ensure adequate facilities are provided for all students, such as:
  - clean and tidy classrooms with sufficient space for the cohort
  - adequate learning resources that are available and in working order
  - adequate and hygienic breakout/kitchen facilities and bathroom facilities.
- f) The Approved Organisation must comply with any Public Health Order or other directive issued by a NSW Government department, in response to any significant events that may impact student welfare.

If SLED has health and safety concerns that are not addressed as required by the Approved Organisation, SLED may refer the matter to the appropriate authority.

### 7.2 SIMULATED WORKPLACES ENVIRONMENTS

Approved Organisations must carefully review each simulated assessment task, including the assessment instructions that outline the required resources and environment for the assessment to be conducted in accordance with the SLED regulatory requirements.

Approved Organisations must ensure that any simulated assessments are conducted in an environment that provides (in so far as practical) the productivity pressures that would exist or may be present in the actual real-world, industry or workplace setting.

#### 7.2.1 RESOURCES TO SUPPORT SIMULATED ENVIRONMENTS

##### 7.2.1.1 Mandatory resources

Approved Organisations must ensure that all mandatory resources, as listed in the required resource and equipment sections within the Assessor Guides, are provided and made available for each student prior to the commencement of all simulated (roleplay) assessments.

##### 7.2.1.2 Specific assessment resources

Approved Organisations must ensure that all roleplay specific resources, as detailed in the assessment instructions, are provided and made available for each student prior to the commencement of all simulated (roleplay) assessments.

### 7.3 DEFENSIVE TECHNIQUES TRAINING AND ASSESSMENT REQUIREMENTS

In addition to the requirements contained in [section 7.1](#), the training venue must have:

- no exposed electrical wiring
- adequate lighting
- adequate temperature control
- controlled entry/exit points
- appropriate floor/wall matting

The training venue must also be free from:

- vermin, insects and other wildlife
- any structural hazards, such as nails, glass, windows, elevated heights, etc, that may increase the risk of injury during training
- hazardous materials, e.g. chemicals, asbestos, etc.

Where the training and assessment requires specialised equipment, there is to be sufficient working equipment for each student for the training and assessment being undertaken. Equipment should not be used if it is in a condition that could result in injury during training.

The following requirements apply to the use of the specified equipment.

#### Forearm Guards

If forearm guards are to be used during training, they must be of a fit and construction sufficient to guard against injury during training. As a guide, the equipment should be:

- not less than 20mm in thickness
- filled with high-density UVA Foam Rubber or similar
- rip/tear resistant plastic or vinyl covered
- secured to the forearm by a minimum of two Velcro straps, which are not less than 30mm in width.

#### Kick/Strike Pads

If kick/strike pads are used during training, they must be of a size and construction relevant to the training being provided. As a guide, the equipment should have handles sewn onto the back and be:

- not less than 600mm in length
- not less than 400mm in width
- not less than 100mm in depth
- filled with high-density UVA Foam Rubber or similar
- rip/tear-resistant plastic or vinyl covered.

## Floor Mats

Safety mats must be used when delivering defensive techniques training, assessment or instruction. Safety mats must be of a size and density to provide reasonable protection against falls and provide sufficient stability to minimise ankle roll while participants undertake training.

At a minimum, the floor mats must:

- not be less than 40mm in depth
- be filled with high-density UVA Foam Rubber or similar
- be rip/tear-resistant plastic or vinyl covered.
- ensure appropriate coverage to the designated area to be used for defensive techniques training and/or assessment.

The floor mats should also:

- have velcro tab strips, approximately 50mm in width attached at one side and both ends, or other alternative locking joints to prevent separation.
- when placed together, have no gaps greater than the thickness of the covering material.

An acceptable alternative is the use of foam “Jigsaw” matting, which should be:

- not be less than 40mm in thickness for floor mats
- not less than 30mm in thickness for wall mats
- be constructed of High-Density EVA foam
- hold together in a “Jigsaw” fashion, covering any area that meets the required training needs.

## Further Requirements

To reduce the likelihood of injury in defensive techniques, or any training that requires dynamic movement as part of the practice stage or assessment, an Approved Trainer must ensure that:

- the venue is large enough to accommodate the training that is being conducted
- students do not inadvertently come into contact with wall surfaces due to overcrowding of the training space
- wall surfaces are clear of any protruding object that may cause harm, i.e. nails, screws, bolts, fire extinguishers, exposed beams.
- windows that pose a danger to students due to their location, height or construction are either boarded up or have mats placed over them
- students wear protective equipment that is appropriate for the type of training being conducted
- where the points mentioned above cannot be met, training mats are placed on the wall surfaces. The minimum standard for wall mats is the same as for floor mats.

## Assessments involving the use of defensive techniques

In addition to Cluster 3, the venue and equipment requirements outlined in section 7.2 also apply to any formative or summative assessment requiring the use of defensive techniques that is conducted as part of an SLC or SLC Cluster.

SLED requires the Approved Organisation to notify it via email of any injuries sustained by either student, trainer or delegate, or any other parties participating in Formative or Summative assessments in relation to the Defensive Techniques, within 72 hours.

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## CHAPTER 8:

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### Notification, Approval and Communication Requirements



## CHAPTER 8: NOTIFICATION, APPROVAL AND COMMUNICATION REQUIREMENTS

The Approved Organisation's Nominated Person, or a person authorised to act on behalf of the Nominated Person, must make all notifications, requests for approval and other communication, in writing to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) in accordance with **Condition 9**.

**Important note:** SLC Approval Requests are subject to SLED's assessment that the proposed course meets the requirements outlined in this document. In addition, SLED may refuse to grant approval in circumstances where:

- the proposed location is considered unsuitable
- Public Health Orders prevent the SLC being conducted
- non-compliance identified in relation to previous SLCs has not been rectified to SLED's satisfaction
- proposed session plans do not meet minimum delivery timeframes for assessment as outlined in each SLC or SLC Cluster

An SLC or SLC Cluster is only approved once SLED has issued the Approved Organisation with approval in writing.

## 8.1 PROCESS FOR SLC NOTIFICATIONS AND REQUESTS FOR APPROVAL



## 8.2 NOTIFICATION REQUIREMENTS RELATING TO THE DELIVERY OF THE SLC

Notification Requirement	Timeframe	Format
<p>Request for approval to conduct a SLC, including a SLC Request Form and a SLC Training and Assessment Session Plan as per <b>Condition 11</b> and <b>Chapter 9</b> that details:</p> <ul style="list-style-type: none"> <li>Dates and times for delivery of all face-to-face engagement activities</li> <li>which assessments are being assessed</li> <li>Location of all session(s)</li> <li>Proposed number of students</li> <li>Details pertaining to Delegates as outlined in chapter 9.6</li> <li>All Approved Trainer(s) nominated to conduct the assessments</li> </ul>	10 business days prior to course commencement	Email SLED a SLC Course Request form attaching a SLC Training and Assessment Session Plan to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
<p>Notification of enrolment of a student to undertake the SLC as per <b>Condition 9</b> and <b>Chapter 9</b> must include:</p> <ul style="list-style-type: none"> <li>Student name</li> <li>Student USI number</li> <li>Email address / contact details</li> <li>DOB</li> <li>Confirmation of Proof of Identify documents</li> <li>Pre-enrolment assessment result</li> <li>First Aid certificate number including issued date</li> <li>SLC Type</li> <li>Student Security Licence no (for SLC Specialist subclass only)</li> <li>Details on whether the student will be awarded by Credit Transfer for any SLC Cluster or deemed competent by an Assessment Only Pathway</li> <li>If the student is enrolled under a NSW Govt Grant/Funding Scheme</li> </ul>	3 business days prior to course commencement	Email notification data to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a> Notification data must be submitted in .csv file format or any other format as directed by SLED
<p>Notification of any student who has completed the SLED Pre-Enrolment Assessment, per <b>Condition 16</b>, and has been assessed as requiring further LLN support prior to SLC commencement, including:</p> <ul style="list-style-type: none"> <li>Student name and DOB</li> <li>Student USI</li> <li>Date assessment was taken</li> <li>Name of Assessor</li> </ul>	Within 5 business days of the assessment being completed	Email student details to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>

Notification Requirement	Timeframe	Format
SLC or SLC Cluster being cancelled.	Within 24 hours of cancellation	Email notice of cancellation to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
<p>Request to amend or change the approved SLC Training and Assessment Session Plan (of a SLC or SLC Cluster) in accordance with <b>Condition 9:</b></p> <ul style="list-style-type: none"> <li>• Delay in delivery of training or assessment that will impact original approved session plan – including the reason for the delay</li> <li>• Changes or amendment to the approved SLC Training and Assessment Session Plan</li> <li>• Change of training venue/location</li> <li>• Change to course start or finish date</li> <li>• Change to Approved Trainer(s)</li> <li>• Change to nominated Delegate(s)</li> </ul>	<p>24 hours prior to the proposed amendment implementation</p> <p>OR</p> <p>Within 24 hours of the amendment being implemented (unforeseen)</p>	Email the SLC Amendment Request Form including the details of the amendment and all attachments to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
<p>Notification of any Credit Transfer being granted for an SLC or SLC Cluster, due to the student achieving the UoCs through a SLED Approved Organisation as per <b>section 3.6 of Chapter 3</b> including:</p> <ul style="list-style-type: none"> <li>• Student name including DOB</li> <li>• Student USI number</li> <li>• SLC approval number</li> <li>• Details of the SLC or SLC Clusters already achieved, including: <ul style="list-style-type: none"> <li>– the name of the SLED Approved Organisation with whom the units were achieved, the relevant VET Qualification or statement of attainment certificate number, and the relevant VET Qualification or statement of attainment issue date.</li> </ul> </li> </ul>	Must be provided along with Student Enrolment Notification for the proposed SLC or SLC Cluster	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a> as part of Student Enrolment Notification
<p>Notification of an Assessment Only pathway for any SLC or SLC Cluster as per <b>section 3.7 of Chapter 3</b> including:</p> <ul style="list-style-type: none"> <li>• Student name including DOB</li> <li>• SLC Cluster name/s and number/s for which the student is not required to undertake the learning component (but must complete the assessments).</li> <li>• A scanned copy of the student's relevant VET Qualifications (including the relevant record of results) and/or statements of attainment.</li> </ul>	Must be provided along with Student Enrolment Notification for the proposed SLC or SLC Cluster	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a> as part of Student Enrolment Notification

Notification Requirement	Timeframe	Format
<p>SLC Outcome Notification in accordance with <b>Condition 9</b>, including:</p> <ul style="list-style-type: none"> <li>• Student name</li> <li>• Student USI number</li> <li>• Email address / contact details</li> <li>• DOB</li> <li>• SLC Type (1A, 1B, 1C, 1D or 1F)</li> <li>• SLC completion date(s)</li> <li>• Name of Approved Trainer(s)</li> <li>• Result for each student (Competent, Not Yet Competent, Withdrawn)</li> </ul>	Within 10 business days of completion	<p>Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a></p> <p>Notification data must be submitted in .csv format or any other format as directed by SLED</p>
<p>Certificate Issuance Notification, must include each VET Qualification and each VET Statement of Attainment issued to a student that undertakes an SLC or SLC Cluster, in accordance with <b>Condition 9</b>, including:</p> <ul style="list-style-type: none"> <li>• Student name</li> <li>• Student USI number</li> <li>• The certificate number</li> <li>• Date of issuance</li> <li>• Type of Certificate (Qualification/Statement of Attainment)</li> <li>• Details of all units completed and obtained</li> </ul>	Within 10 business days of issuance	<p>Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a></p> <p>Notification data must be submitted in .csv format or any other format as directed by SLED</p>

### 8.3 GENERAL NOTIFICATION REQUIREMENTS

Notification Requirement	Timeframe	Format
Any change of Master licence details as per <a href="#">Chapter 1</a>	Within 14 calendar days	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
Intent to change the ownership or business structure of the RTO as per <a href="#">Chapter 1</a>	Within 7 calendar days	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
Approved Organisation or any of its Directors are placed in liquidation or bankruptcy or in the hands of an administrator or an official receiver as per <a href="#">Chapter 1</a>	Within 24 hours	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
Reply to SLED phone and email communications as per <a href="#">Chapter 1</a>	Within 72 hours or as directed by SLED	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
Approved Organisation is subject to regulatory action by ASQA as per <a href="#">Chapter 1</a>	Within 5 business days	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
An Approved Trainer ceasing employment as per <a href="#">Chapter 5</a>	Within 7 calendar days	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
An Approved Organisation or Approved Trainer becomes aware that there has been unauthorised access, dissemination or distribution of SLC Assessor Guides as per <a href="#">section 9.8 of Chapter 9</a> .	<b>Immediately</b>	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
Any attempt by any persons to offer a bribe to an Approved Organisation or Approved Trainer in connection with an SLC, as per <a href="#">Chapter 2</a> .	<b>Immediately</b>	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
A complaint received by an Approved Organisation or Approved Trainer that involves an allegation that would constitute a breach of the Conditions of Approval or SLED's regulatory requirements, as per <a href="#">Chapter 2</a> .	Within 24 hours of receiving the complaint	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
An Approved Organisation or Approved Trainer identifies suspicious activity by trainers or students undertaking the online training or eLearning as part of an SLC, in accordance with <a href="#">Chapter 9</a> .	Within 24 hours of identifying the issue	Email <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>

Notification Requirement	Timeframe	Format
An Approved Trainer ceasing employment as per <a href="#">Chapter 5</a>	Within 7 calendar days	Email to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
An Approved Organisation or Approved Trainer becomes aware that there has been unauthorised access, dissemination or distribution of SLC Assessor Guides as per <a href="#">Chapter 9</a> .	Immediately	Email to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
Any attempt by any persons to offer a bribe to an Approved Organisation or Approved Trainer in connection with an SLC, as per <a href="#">Chapter 2</a> .	Immediately	Email to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
A complaint received by an Approved Organisation or Approved Trainer that involves an allegation that would constitute a breach of the Conditions of Approval or SLED's regulatory requirements, as per <a href="#">Chapter 2</a> .	Within 24 hours of receiving the complaint	Email to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>
An Approved Organisation or Approved Trainer identifies suspicious activity by trainers or students undertaking the online training or eLearning as part of an SLC or SLC Cluster, in accordance with <a href="#">Chapter 9</a> .	Within 24 hours of identifying the issue	Email to <a href="mailto:sledrtos@police.nsw.gov.au">sledrtos@police.nsw.gov.au</a>

The background of the entire page is a dark blue gradient. Overlaid on this are several abstract, white geometric patterns. These patterns consist of thin lines that form right-angled turns, creating a series of parallel paths. At the ends of these lines and at various points along them, there are small white circles of varying sizes. Some circles are larger than others, and some are placed at the intersection of lines. The overall effect is a technical, circuit-like aesthetic.

## CHAPTER 9:

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### Delivery of the Security Licence Course



## CHAPTER 9: DELIVERY OF THE SECURITY LICENCE COURSE

### 9.1 DELIVERY OF TRAINING AND ASSESSMENT

Approved Organisations are responsible for the development of their own learning resources and training products. The delivery of training associated with an SLC may only be conducted using the delivery modes listed below.

### 9.2 TRAINING DELIVERY MODES

The Approved Organisation must ensure that all training and assessment conducted as part of an SLC, is delivered in the manner proposed and approved by SLED. All training, assessment and instruction may only be conducted and delivered by a suitable trainer, who is approved by SLED as an Approved Trainer. The Trainer must meet the requirements of **Chapter 5** contained in this document.

#### 9.2.1 CLASSROOM (FACE TO FACE)

There is no minimum face-to-face duration of learning required to be delivered as part of any SLC or SLC Cluster, however Approved Organisation's must:

- not exceed a ratio of 20 students to one Approved Trainer, per face-to-face training or assessment session, unless prior written authorisation is requested and obtained from SLED.
- not exceed nine hours per day and must include 60 minutes for breaks (or commensurate if it is not a full day session)
- comply with the Venue and Resource requirements contained in **Chapter 7** of this document
- comply with the Student Attendance Record requirements contained in **Chapter 12** of this document

#### 9.2.2 SELF-PACED DELIVERY (BLENDED)

Approved Organisations may use blended learning methods, including electronic learning (eLearning) and online learning platforms, as well as traditional distance learning (such as pre-reading) to provide the required learning content and to conduct formative assessments for the SLC.

This does not extend to any formative assessment relating to the performance criteria or performance evidence for Cluster 3, due to the requirement for practical training in defensive techniques.

Approved Organisations can obtain guidance about Alternate Delivery Modes from ASQA's website: <https://www.asqa.gov.au/distance-learning>. An Approved Organisation delivering an SLC using Alternate Delivery Modes is subject to the following requirements:

- a) In conducting online training, effective measures must be in place to minimise the potential for fraudulent activity. In demonstrating the capacity to meet this requirement, the Approved Organisation must ensure the system used has the ability to:
  - capture a student's IP address
  - monitor all course activity
  - identify plagiarism, such as flagging when the same free text answers are given to assessment questions by different students
  - lock student detail fields to prevent amendments unless they are verified by the Approved Organisation
  - provide appropriate privacy and security safeguards.
- b) Online, eLearning or distance education strategies/programs must include the capability to make direct contact with the student if required.

- c) Marketing of online or eLearning delivery modes for the SLC must specify what resources are required by the student (for example video conference facilities, cloud-based services, printers, etc) and what resources are supplied by the Approved Organisation.
- d) Approved Organisations must report to SLED any suspicious activity by trainers or students undertaking the online training or eLearning as part of an SLC within 24 hours of identifying such an issue.
- e) Online and eLearning systems must still comply with all Conditions of Approval, including record keeping and student attendance record requirements.
- f) Student participation in online and eLearning delivery of an SLC is auditable by SLED. Therefore, the Approved Organisation must ensure it can provide records that demonstrate verification of student identity and evidence of student participation.

## 9.3 CONDUCTING ASSESSMENT

### 9.3.1 FORMATIVE ASSESSMENT REQUIREMENTS

SLED does not mandate formative assessments delivered throughout a SLC. Approved Organisations are responsible for developing and carrying out formative assessments to ensure that sufficient learning has occurred and to confirm that students are ready to undertake SLED's mandated summative assessments.

### 9.3.2 SUMMATIVE ASSESSMENT REQUIREMENTS

- a) Summative assessments for each SLC or SLC Cluster must be completed using the relevant SLC or SLC Cluster Student Workbook.
- b) The content of the SLED mandated assessments must not be amended or deleted, without prior written permission by SLED. This is to ensure consistency of assessment across Approved Organisations and adherence to the Principles of Assessment.
- c) Assessments must be carried out in accordance with the assessment instructions contained within the relevant SLC Assessor Guide.
- d) Approved Trainers must ensure that they read and follow all instructions provided within the relevant SLC Assessor Guide.
- e) Approved Trainers must refer to the relevant SLC Assessor Guide when assessing each assessment task to ensure that the minimum benchmark responses, including performance requirements, are used to guide their assessment judgements.
- f) Approved Organisations must not assess a student's competency through Recognition of Prior Learning.
- g) SLED mandated assessments must be conducted in a supervised, face-to-face environment. Students must be supervised at all times by an Approved Trainer while the assessment is being conducted, and it is the responsibility of the Approved Organisation to ensure supervision is sufficient to prevent plagiarism or collusion by students.
- h) All students must read and sign the Student Declaration Form prior to the completion of each SLC or SLC Cluster.
- i) Approved Trainers must complete the assessment Observation Checklists, including recording their specific observations to support their assessment judgements, either during or immediately after the conduct of such simulation assessment.
- j) Judgements relating to Satisfactory or Not yet Satisfactory outcomes can only be recorded at the completion of the assessment tasks, or submission of all necessary documentation relating to that assessment.

### 9.3.3 ASSESSMENT REQUIREMENTS FOR DEFENSIVE TECHNIQUES

SLED mandated assessments that involve any use of defensive technique or hands-on activity must be delivered in strict adherence to the instructions contained in the SLC Assessor Guide, and Venue and Resource requirements in [Chapter 7](#).

Additionally, the Approved Organisation must have, and deliver, a Safety Briefing prior to the delivery of any defensive techniques training and/or assessment.

## 9.4 ENROLMENT

Student enrolment in an SLC or SLC Cluster must be conducted face-to-face to enable:

- a) verification of student identification as per **Condition 14**
- b) confirmation that the student has been made aware of and has acknowledged the eligibility requirements for NSW security licences (P1016 form) as per **Condition 15**
- c) confirmation through the SLED Pre-Enrolment Assessment that the student has the capacity to satisfactorily complete the course and achieve the required competency standards as per **Condition 16**.

The Approved Organisation must ensure that the required enrolment information as detailed in [section 8.2 in Chapter 8](#) is collected and provided to SLED as per **Condition 9**.

Approved Organisations must always complete these processes prior to a student commencing an SLC or SLC Cluster and must retain all enrolment records as per **Condition 19**.

## 9.5 REQUIREMENT TO SUBMIT A SESSION PLAN

As SLED permits Approved Organisations to be flexible in the modes of learning delivery and amount of training provided for an SLC or SLC Cluster, an Approved Organisation must submit a Training and Assessment Session Plan on each occasion it seeks approval to conduct an SLC or SLC Cluster.

The SLC Training and Assessment Session Plan will assist SLED in assessing the request for approval to conduct an SLC and assist SLED in monitoring compliance of the Approved Organisation with the Conditions of Approval.

Approved Organisations may submit their SLC Training and Assessment Session Plan using their own template or Learning Management System (LMS) output; however, it must contain, at a minimum, the following details:

- dates and times for delivery of all face-to-face activities including training, revision sessions and assessments.
- which SLC Cluster(s) is being assessed including time and date of each assessment task
- location of all assessment sessions
- all Approved Trainer(s) nominated to conduct the sessions
- all delegates that will assist in the conduct of simulated assessments
- a minimum of one day for revision, per SLC cluster or subclass licence course
- a minimum of one day per SLC for re-assessment

Failure to deliver training and assessment in accordance with the session plan for an approved SLC or SLC Cluster is a contravention of **Condition 11**.

## 9.6 DELEGATE REQUIREMENTS

A number of the simulated assessment activities, developed as part of the Security Licence Course, require the Approved Organisation to ensure that the role of person of interest (POI) is acted or played by a person who is either an Approved Trainer or a Delegate.

A Delegate must be a person who is able to demonstrate suitable practical security experience and who would be considered fit and proper to hold a security licence.

For the purposes of confirming a person's suitability as a Delegate they must be able to meet the following:

### Delegate Requirements

- holds a relevant Security Qualification (CPP20218 Certificate II in Security Operations or CPP30318 Certificate III in Security Operations or CPP30314 Certificate III in Close Protection Operations); **or**
- holds a current Security Licence relevant to the type of SLC being delivered or assessed; **or**
- has a minimum of six months experience in a relevant industry role.

## 9.7 MINIMUM ASSESSMENT DELIVERY

Approved Organisations must ensure that all summative assessments allow for sufficient time for students to complete the SLED mandated assessments, as outlined by the recommended timeframes within each assessment task.

## 9.8 STORAGE AND SECURITY OF ASSESSMENTS

Each Approved Organisation will be provided with a master copy of the SLC Assessor Guide for the SLC and SLC Cluster(s) they are approved to deliver. Each SLC Assessor Guide will be titled to identify the Approved Organisation to whom the guide was issued.

Each Approved Organisation is responsible for the security of their master copy of the SLC Assessor Guide(s), as well as any completed student assessment material, be they electronic or hard copy upon which their name is recorded on.

Each Approved Trainer and Nominated Person must comply with **Condition 13** and must also ensure that, when not in use, all SLED mandated assessments associated with a SLC or SLC Cluster is kept secure and not left unattended.

Approved Organisations must notify SLED immediately if they become aware of any unauthorised access, dissemination, or distribution of any SLED mandated assessments associated with a SLC or SLC Cluster.

## 9.9 RETENTION OF SLC RECORDS

Records required to be retained in accordance with **Condition 19** must be stored in NSW and be accessible to SLED Enforcement Officers. If scanned copies are kept by the Approved Organisation in lieu of original hard copy documents, the following requirements apply:

- copies must be authentic and complete (i.e. first page and last page included, both sides of double-sided pages have been copied, the scan is clear, and the text can be easily read, etc)
- originals are kept for quality control purposes for an appropriate length of time after copying
- copies are made in colour at a minimum resolution of 200dpi
- copies are in PDF format.

All electronic records relating to online learning delivery of an SLC must be stored in such a manner and format that they can be produced immediately upon request to an Enforcement Officer.

## 9.10 SLED CONTINUOUS IMPROVEMENT REGISTER

Approved Organisations are responsible for developing, implementing, monitoring, and evaluating quality training and assessment strategies and practices that meet training package and VET accredited course requirements, in accordance with Clause 2.2 of the *Standards for RTOs 2015*. Approved Organisations are not permitted to amend or alter the content of SLED mandated assessments and it is therefore important that any changes required to SLC Student Workbooks and/or SLC Assessor Guides be reported to SLED for inclusion on SLED's Continuous Improvement Register.

Suggested changes or improvements must be reported in writing to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) and include a detailed explanation of the identified issue and proposed deletions, amendments, or inclusions to address the issue.

SLED will review the Continuous Improvement Register periodically and release updated versions of the relevant SLC Student Workbooks and/or SLC Assessor Guides as necessary.

Reporting an issue for inclusion on the Continuous Improvement Register to SLED is not a defence for non-compliance with **Condition 12**.

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## CHAPTER 10:

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### Student Evidence of Identity Requirements

## CHAPTER 10: STUDENT EVIDENCE OF IDENTITY REQUIREMENTS

Approved Organisations must verify the identity of all students undertaking an SLC prior to the course commencing, in accordance with the following requirements:

1. Approved Organisations must sight evidence of identity documents from the Acceptable Types of Documents table (page 55) that add up to at least 100 points. The identification documents produced by the student must:
  - a) be original documents or original certified\* copies of the documents
  - b) include at least one primary document
  - c) be current and not expired (except where indicated in the Acceptable Types of Documents table); and
  - d) collectively include: a student's photograph, date of birth, signature and current address.

**\*Original certified means an original document sighted, and copies signed, by a current NSW Justice of the Peace (and in accordance with the NSW Justice of the Peace Act 2002 and NSW Justice of the Peace Regulation 2014)**

2. Approved Organisations must make a colour copy (i.e. photocopy, scanned copy or photograph) of each original identification document sighted.

NSW Digital Driver Licences may be copied by emailing or messaging a screenshot of the licence, or by taking a photograph of the student's phone displaying the licence AFTER it has been checked following the procedure on page 56

Approved Organisations must verify that the student is the same person as shown in the identity document bearing the person's photograph.

3. A certified English translation must accompany documents provided that are not in English (refer to National Accreditation Authority for Translators website [www.naati.com.au](http://www.naati.com.au)).

In NSW, **Multicultural NSW** employs NAATI accredited translators. Translations on Multicultural NSW letterhead that are certified as an extract translation of the document(s) attached and include the ID number of the translator are acceptable.

The Department of Home Affairs also provides translating services.

It is the responsibility of Approved Organisations to ensure that appropriate privacy and security safeguards are in place in relation to the storage of student's personal and identity information.

## ACCEPTABLE TYPES OF DOCUMENTS

PRIMARY DOCUMENTS: (at least one primary document)	Points value:
Australian Birth Certificate ( <i>issued by the Registry of Births, Deaths and Marriages of an Australian State or Territory</i> ). Commemorative certificates and birth certificate extracts are not acceptable	70
Australian Birth Card ( <i>issued by the Registry of Births, Deaths and Marriages of an Australian State or Territory</i> )	70
A document of identity issued by the Australian Passport Office ( <i>current or expired within the last two years but not cancelled</i> )	70
An overseas passport ( <i>current</i> )	70
A national photographic identity document, Citizen card or Passport card ( <i>current or expired within the last two years but not cancelled</i> )	70
Australian Citizenship Certificate	70
Photo identity card issued under Australian law (e.g. driver licence or other government-issued licences) containing a photograph, signature of the Student and current residential address ( <i>NSW Digital Driver's licences can be accepted but must be checked following instructions on page 52 of this document</i> )	50
SECONDARY DOCUMENTS:	Points value:
Department of Immigration and Border protection issued document (IMMI card, work or bridging visas, Safe-haven enterprise visa (SHEV), UNHCR card (United Nations High Commissioner for Refugees) or Temporary Protection visa (TPV)	40
State/territory issued proof of age card, Mobility parking scheme (MPS) card	40
A photographic identification card issued to a public employee by a Government Agency or Authority	40
Tertiary Education Institution identity card (current or expired within the last two years)	40
Seniors / Government concession card	40
Department of Veterans Affairs entitlement card or Australian Defence Force identity card	25
Centrelink card / Medicare card	25
EVIDENCE OF RESIDENTIAL ADDRESS:	Points value:
Utility notices such as electricity, gas, water or rental contracts or rates notice	25
Phone bills, motor vehicle registration, electoral enrolment	25



## SLED IDENTIFICATION REQUIREMENTS - FREQUENTLY ASKED QUESTIONS

### Can a student start a course without providing the required evidence of identity?

No, it is a breach of **Condition 14** to allow a student to commence an SLC without first confirming their identity.

### Can a student that wishes to join on the 1st day of an SLC 'walk-in' then provide their ID at any time before the course finishes?

No, it is a breach of **Condition 14** to allow a student to commence an SLC without first confirming their identity.

### Is an overseas passport an acceptable evidence of identity document?

Yes, a foreign passport is able to be used as acceptable form of identify.

However, to be eligible to apply for a NSW security licence, the individual must meet the requirements set out in SLED's Fact Sheet 6 – Am I Eligible for a Security Licence?

### Can I accept an overseas birth certificate as an evidence of identity document?

No. Only birth certificates or birth cards issued by the Registry of Births, Deaths and Marriages of an Australian State or Territory are acceptable.

### Can I accept documents that have been cancelled?

No.

### Can I accept documents that have been translated into English by a friend or family member?

No.

### I have received certified copies of original Identity documents signed by a Justice of the Peace. What should I be looking for to verify these?

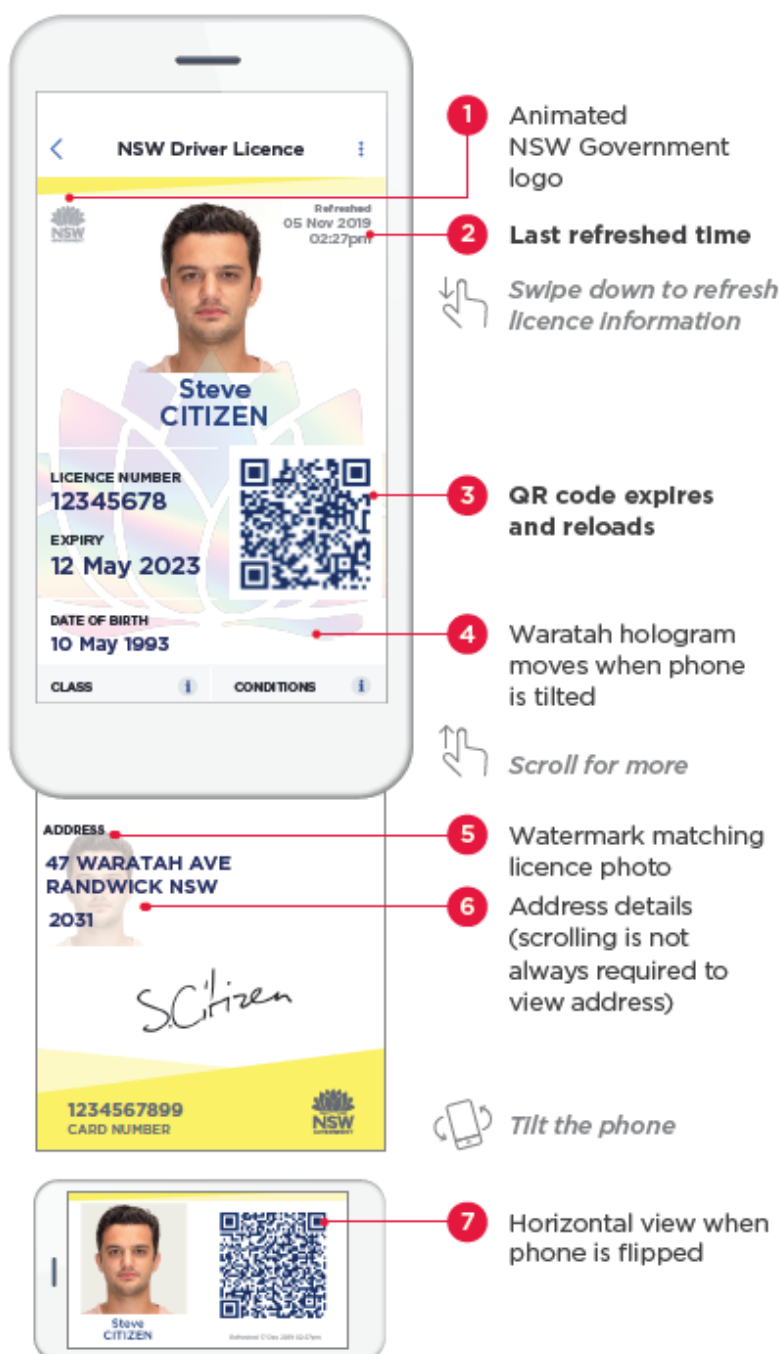
1. Full (printed) name of Justice of the Peace (JP)
2. Signature (handwritten in ink, not a stamp, label or sticker)
3. Words, 'I certify this to be a true copy of the document reported to me to be the original document'. Use of this wording (or substantially the same wording) is required by law
4. JP registration number
5. Date

The person's photograph that appears on any ID documents provided to you **must** be confirmed as the same person in attendance for the commencement of training with your organisation.

# How to check the **light mode** NSW Digital Driver Licence

The Digital Driver Licence contains multiple features which confirm it is authentic and current, therefore reducing the risk of identity fraud. Licence holders can choose to display their Digital Driver Licence in the default light mode or optional dark mode.

To ensure you are viewing the most current licence information, ask the customer to swipe down to refresh their licence.

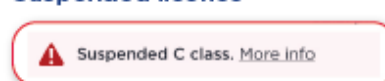


## Under 18



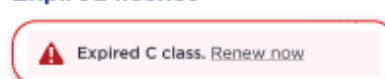
Holders who are under 18 years of age will have an icon next to their date of birth for quick identification.

## Suspended licence



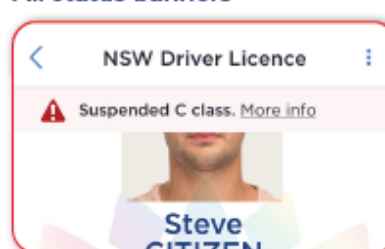
Will be displayed in a fixed status banner at the top of the screen.

## Expired licence



Will display a fixed status banner at the top of the screen.

## All status banners



Remain fixed to the top of the screen and cannot be hidden when scrolling.

## Important information

Avoid handling a customer's phone. If you have difficulty viewing ask the customer to adjust the phone to make checking easier.

If you have any concerns about the Digital Driver Licence, follow your industry or organisational protocol.

For more information  
[service.nsw.gov.au/digital-driver-licence](https://service.nsw.gov.au/digital-driver-licence)



SNOW 25020\_28/01/2021

The background of the entire page is a dark blue gradient. Overlaid on this are several abstract, white geometric patterns. These patterns consist of thin lines that form various angles and paths, often terminating in small white circles. Some lines are straight, while others are bent at right angles. The circles vary in size, with some being larger than others. The overall effect is a modern, technical, and minimalist aesthetic.

## CHAPTER 11:

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### SLED Fact Sheet 6 and Form P1016

# Am I Eligible for a NSW Security Licence?



**To be eligible for a NSW security licence, you must meet suitability criteria required by security industry legislation. These fall into two main categories:**

- 1. General; and**
- 2. Criminal and Other Related History.**

**Please note that further probity and background checks will also be conducted that may affect your suitability. For further information, please contact the Security Licensing & Enforcement Directorate on 1300 362 001.**

## General Suitability Criteria

If you wish to be granted a NSW security licence, you must:

- be 18 years of age or over
- be a fit and proper person to hold the class of licence sought
- have the relevant competencies and experience required
- have successfully completed any required training and assessment
- be competent to carry on the security activity to which the proposed licence relates
- be an Australian/New Zealand citizen or permanent Australian resident, or hold a visa sponsored by a Master licence holder, or hold a visa for a skilled occupation to which the activities authorised by the proposed licence correspond
- provide acceptable documents that confirm your identity.

If you are not an Australian/New Zealand citizen or permanent Australian resident, you will need to provide a police certificate from each country you have lived in for 12 months or more over the previous 10 years since turning 16. Each certificate must be translated into English (if necessary) and verified by the relevant country's embassy/consulate in Australia. Police certificates submitted with an application will need to have been issued within 12 months prior to the application being lodged.

## Criminal And Other Related History Suitability Criteria

You are not eligible to be granted a NSW security licence if you have:

- within the previous 10 years, been convicted in NSW or elsewhere of an offence prescribed by the regulations
- within the previous 5 years, been found guilty (but with no conviction recorded) by a court in NSW or elsewhere of an offence prescribed by the regulations
- within the previous 5 years, had imposed against you by a court or tribunal in NSW or elsewhere, a civil penalty prescribed by the regulations
- within the previous 10 years, been removed or dismissed from the NSW Police Force or any other jurisdiction (whether in Australia or overseas) on the grounds of your integrity as a police officer
- been involved in corrupt conduct.

You are also not eligible to be granted a NSW security licence if you are a registrable person or corresponding registrable person within the meaning of the *Child Protection (Offenders Registration) Act 2000*, and have reporting obligations under that Act.

**SECURITY LICENSING & ENFORCEMENT DIRECTORATE**  
**Locked Bag 5099, Parramatta NSW 2124**

FACT SHEET 6 | PAGE 1 / 2

NSWPF/2020/14314

Telephone: 1300 362 001  
Email: [sled@police.nsw.gov.au](mailto:sled@police.nsw.gov.au) | Website: [www.police.nsw.gov.au/sled](http://www.police.nsw.gov.au/sled)



# Am I Eligible for a NSW Security Licence?



## Prescribed Offences and Civil Penalties

The following are prescribed by the Security Industry Regulation 2016 and disqualify applicants from obtaining a NSW security licence. Offences and civil penalties:

- relating to firearms or weapons, where the offence would disqualify the person from holding a firearms licence
- relating to prohibited drugs, prohibited plants or restricted substances
- involving assault, where the penalty imposed is imprisonment, an intensive correction order, a community correction order, a conditional release order, a good behaviour bond, a community service order or a fine of \$200 or more
- involving assault, where guilt has been found but no conviction recorded and the Commissioner is of the opinion that it is a serious assault offence
- involving fraud, dishonesty or stealing where the maximum penalty is imprisonment of three months or more
- relating to robbery
- relating to riot
- relating to affray
- involving stalking or intimidation
- relating to reckless conduct causing death at a workplace
- relating to terrorism
- involving organised criminal groups and recruitment
- relating to industrial relations matters where a total of at least five offences have been committed by the applicant during any period of two years (in the case of an application for a master licence only).

## WHERE CAN I FIND MORE INFORMATION?

The information provided in this Fact Sheet is for general guidance only. Applicants and licensees should familiarise themselves with the Security Industry Act 1997 and the Security Industry Regulation 2016, which are available on the NSW Legislation website ([www.legislation.nsw.gov.au](http://www.legislation.nsw.gov.au)).

SECURITY LICENSING & ENFORCEMENT DIRECTORATE  
Locked Bag 5099, Parramatta NSW 2124

FACT SHEET 5 | PAGE 2 / 2  
NSWIPF/2020/14314

Telephone: 1300 362 001  
Email: [sled@police.nsw.gov.au](mailto:sled@police.nsw.gov.au) | Website: [www.police.nsw.gov.au/sled](http://www.police.nsw.gov.au/sled)



## **P1016 FORM - ACKNOWLEDGEMENT OF FACT SHEET 6**

### **(Grounds for Refusing or Revoking a Class 1 or Class 2 Licence)**

It is a condition of approval that, before the commencement of any Security Licence Course, Approved Organisations must:

1. provide all students a copy of SLED Fact Sheet 6, which outlines NSW security licence eligibility requirements;
2. require all students to complete and sign this form, acknowledging the provision of SLED Fact Sheet 6; and
3. attach the completed form to the student's file maintained by the Approved Organisation.

All students are required to complete the acknowledgement below and return this form to the Approved Organisation for retention in accordance with the above condition.

I \_\_\_\_\_ (insert name)

acknowledge that I have been provided a copy of SLED Fact Sheet 6 (*Grounds for Refusing or Revoking a Class 1 or Class 2 Licence*).

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_



## CHAPTER 12:

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### Student Attendance Sheets

## CHAPTER 12: STUDENT ATTENDANCE SHEETS

**Condition No. 17** requires that a Student Attendance Sheet is completed for each day of face-to-face delivery of training and assessment of an SLC or SLC Cluster in accordance with the requirements specified in this document:

- 12.1 Approved Trainers must inform each student at the commencement of each face-to-face SLC session that they must accurately record their attendance details on the Student Attendance Sheet and that by signing the document they are certifying that the details relating to their attendance during the course are true and correct.
- 12.2 A class Student Attendance Sheet must be completed by all students in attendance at each day's face-to-face training, assessment and instruction. It must be completed legibly in the English language and in a hard copy, written form, using black or blue pen only.
- 12.3 The original or scanned copy of the completed Student Attendance Sheet must be retained securely by the Approved Organisation for a period of no less than three years in a form that permits the Student Attendance Sheet to be readily accessible by an Enforcement Officer.
- 12.4 Each student must record and sign on the Student Attendance Sheet the actual time they start, and at the time they finish, the face-to-face session each day. This must occur contemporaneously and be handwritten legibly by the student.
- 12.5 All Approved Trainers who provided face-to-face training, assessment or instruction on the day must sign the Student Attendance Sheet, after all students have recorded their daily finish time and placed their signature on the document, to verify that the record is true and correct.
- 12.6 The Approved Organisation is responsible for ensuring that eLearning and online learning platforms enable:
  - identity of the student to be verified
  - duration of participation to be recorded
  - student participation to be recorded in a manner that is auditable by SLED.

Training delivered via Learning Management Systems and Virtual classrooms such as Moodle, Talent, Zoom, WebEx etc. should be recorded and retained as per **Condition 21**.

See page 64 for an example of an SLC Student Attendance Sheet.



SECURITY LICENCE COURSE (SLC) – STUDENT ATTENDANCE SHEET						
SLC Approval Number:			Approved Trainer Name			
SLC Course Type:			Date:		Day no:	of
Training Venue Address:			Start Time:		Finish Time:	
Students Full Legal Name	Sign in Time	Student Signature	Sign out Time	Student Signature	Trainer comments	
Total Students in attendance:		*Approved Trainer Signature:				Time:
						Page of

*\* I certify that the information within this attendance sheet is true and correct*

Page of

# CHAPTER 13:

## Training Regulation

## CHAPTER 13: TRAINING REGULATION

The Training Regulation team of SLED is comprised of auditors who hold relevant VET qualifications and experience, as well as relevant regulatory and compliance expertise. Each auditor is an Enforcement Officer under the Act. This authorises them to use Enforcement Powers contained within the Act to conduct audits, obtain records and make enquiries to ensure that Approved Organisations are compliant with their Conditions of Approval.

### 13.1 CONDITIONS OF APPROVAL AND REGULATORY REQUIREMENTS

Approval for Approved Organisations and Approved Trainers to deliver the SLC is given pursuant to section 27A of the Act. This section also provides that such approval is subject to conditions concerning the provision of training, assessment and instruction by Approved Organisations and Approved Trainers. Those conditions referred to as 'Conditions of Approval', are contained on pages 7 to 9 of this document.

Conditions of Approval provide a regulatory framework to ensure:

- the integrity and effectiveness of training and assessment delivered by Approved Organisations for security licensing purposes
- that the training, assessment and instruction delivered by Approved Organisations ensures the licensee has the necessary knowledge and competency about the security activity authorised by the licence subclass they are seeking
- that the training is being delivered to a standard required by the Commissioner.

SLED requires Approved Organisations to comply with the Conditions of Approval by following certain procedures and/or adhering to certain standards. These are referred to as "SLED regulatory requirements", and they are contained in:

- Chapters 1 – 12 of this document
- NSWPF SLC documents
- any additional Conditions of Approval imposed by SLED concerning your Organisation's Approval
- any specific conditions placed by SLED on approval of specific SLCs or SLC Cluster.

### 13.2 ENFORCEMENT POWERS

Approved Organisations will be subject to regular audits by SLED Enforcement Officers to ensure compliance with security industry legislation and their Conditions of Approval. SLED Enforcement Officers (other than police officers) must produce their identification to any affected person if asked to do so while exercising their enforcement powers<sup>2</sup>.

Enforcement powers in the Act can be used for:

**General administration of the Act:** general compliance audits are to ensure that training, assessment and instruction is of a kind that is approved, and to a standard required, by the Commissioner.

**Determining whether there has been compliance with, or contravention of, this Act or the regulations:** enforcement powers are used for targeted audits and investigations when allegations have been received, or there are grounds to suspect that there has been a contravention of the Act or Regulations.

Enforcement Officers can:

- enter premises at which a security activity (or an activity ancillary to the carrying on of a security activity) is being carried on, or at which the Enforcement Officer reasonably believes such an activity is being carried on at any reasonable time<sup>3</sup>

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<sup>2</sup> Section 39M(2) of the Act

<sup>3</sup> Section 39I of the Act

- whilst on premises, examine, seize, copy, or require to be copied, any registers, books, records or other documents on the premises; require any person to produce those items or answer questions in relation to them or any other relevant matter; and take any photographs or make recordings considered necessary<sup>4</sup>
- issue a notice requiring a person to furnish to the Enforcement Officer such information or records (or both) as the Enforcement Officer requires<sup>5</sup>
- issue a notice in writing requiring a person to attend at a specified place and time to answer questions and record those questions and answers<sup>6</sup>. A person may object to answering questions on the grounds it may incriminate them, however they must still answer the questions<sup>7</sup>.

It is an offence for a person to obstruct, hinder or interfere with an Enforcement Officer<sup>8</sup> or fail to comply with the requirements of an Enforcement Officer exercising their enforcement powers<sup>9</sup>.

It is also an offence to provide information or do anything in purported compliance with a requirement made under the Act or regulations knowing it to be false or misleading<sup>10</sup>.

It is also an offence, without reasonable excuse, to alter, damage or destroy a document required to be kept under the Act, or to be produced to an Enforcement Officer<sup>11</sup>.

### 13.3 SLED AUDIT FEEDBACK

SLED will provide audit feedback to Approved Organisations and/or Approved Trainers following any site or desktop audit, this will usually be provided within 10 business days of the audit being completed.

The audit feedback will relate only to SLED regulatory requirements (as defined in the Conditions of Approval) and only applies to the scope and observations made onsite at the time of audit, or of the records obtained for the purpose of a desktop audit.

The audit feedback will outline any non-compliance against the Conditions of Approval, as identified during the audit process, and will detail any corrective action required.

Approved Organisations and/or Trainers are required to acknowledge receipt of any audit feedback by reply email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au) within 72 hours, or as instructed by SLED.

Should an Approved Organisation and/or Trainer wish to seek clarification of the details in the audit feedback, they may make those enquiries via email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au).

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4 Section 39K of the Act

5 Section 39O of the Act

6 Section 39Q of the Act

7 Section 39R of the Act

8 Section 39S of the Act

9 Section 39T of the Act

10 Section 39V of the Act

11 Section 39U of the Act

## 13.4 NON-COMPLIANCE INVESTIGATIONS

SLED may initiate a non-compliance investigation to determine if:

- an Approved Organisation has failed to comply with the Conditions of Approval to the extent that it constitutes an offence under s27A(3) of the Act
- an Approved Trainer has failed to comply with the conditions of their Class 2D (Security Trainer) licence to the extent that it constitutes an offence under s30 of the Act
- the Commissioner should refuse to grant an application for a licence because the Commissioner is not satisfied that the applicant has undertaken and completed the training, assessment and instruction that is approved for the class of licence sought by the applicant<sup>12</sup>
- the approval of an Approved Organisation or Approved Trainer should be suspended or revoked<sup>13</sup>.

SLED investigations may involve the use of Enforcement Powers to gather information, including obtaining relevant records, information and interviewing witnesses.

Approved Organisations will be notified if a non-compliance investigation has commenced. If SLED is considering taking any enforcement or administrative action as a result of the investigation, the affected persons will be given an opportunity to respond to the allegations before a decision is made.

A graduated enforcement approach is applied to all enforcement and/or administrative action being considered in relation to non-compliance and/or offences under the Act.

## 13.5 GRADUATED ENFORCEMENT

SLED aims to work with Approved Organisations to ensure their compliance with the Conditions of Approval. It is noted that a failure to comply with conditions imposed by the Commissioner, or any breach of the conditions, may result in the Commissioner's Approval being suspended or revoked, and/or penalties being imposed as provided for by the Act. The maximum penalty for failure to comply with the Conditions of Approval is:

- a) in the case of a corporation—100 penalty units, or
- b) in the case of an individual—50 penalty units.

When considering whether to take enforcement or administrative action, SLED considers the following factors:

### Seriousness of the non-compliance

- What are the consequences of the non-compliance?
- Is it deliberate?
- Does it indicate fraud or corruption?
- Is it a one-off or systemic?
- Does it affect the outcomes for the learner?
- Could it result in security licensing requirements not being met?

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<sup>12</sup> Section 15(1)(f)(iii) of the Act

<sup>13</sup> Section 27A(2)(b) of the Act

### **Compliance history**

- What is the Approved Trainer's or Approved Organisation's compliance history in relation to the particular condition?
- What is the Approved Trainer's or Approved Organisation's general compliance history?
- How much time has passed since the last non-compliance?
- What efforts have been made to rectify the previous non-compliance?
- Are the circumstances of previous non-compliance relevant to the current issue?

### **Attitude toward compliance**

- What is the Approved Trainer's or Approved Organisation's explanation?
- Do they understand the requirement?
- Do they accept responsibility?
- Has the Approved Trainer or Approved Organisation been cooperative with the investigation?
- Are they willing to take corrective action?

### **Caution Guidelines under the Fines Act 1996**

When Enforcement Officers consider whether to issue a Penalty Infringement Notice, they may consider whether it is appropriate to give an Official Caution instead. The matters that can be taken into account are outlined in the Caution Guidelines under the Fines Act 1996 and include:

- the offending behaviour did not involve risks to public safety, damage to property or financial loss, or have a significant impact on other members of the public
- the person has a special infirmity or is in very poor physical health
- the offending behaviour is at the lower end of the seriousness scale for that offence
- the person did not knowingly or deliberately commit the offence
- the person is cooperative and/or complies with a request to stop the offending conduct
- it is otherwise reasonable, in all the circumstances of the case, to give the person a caution.

Taking into account all the above factors, enforcement action relating to non-compliance may range from education, warnings requiring corrective action, Official Cautions, Penalty Infringement Notices or Suspension / Revocation of Approval (see Figure 1).

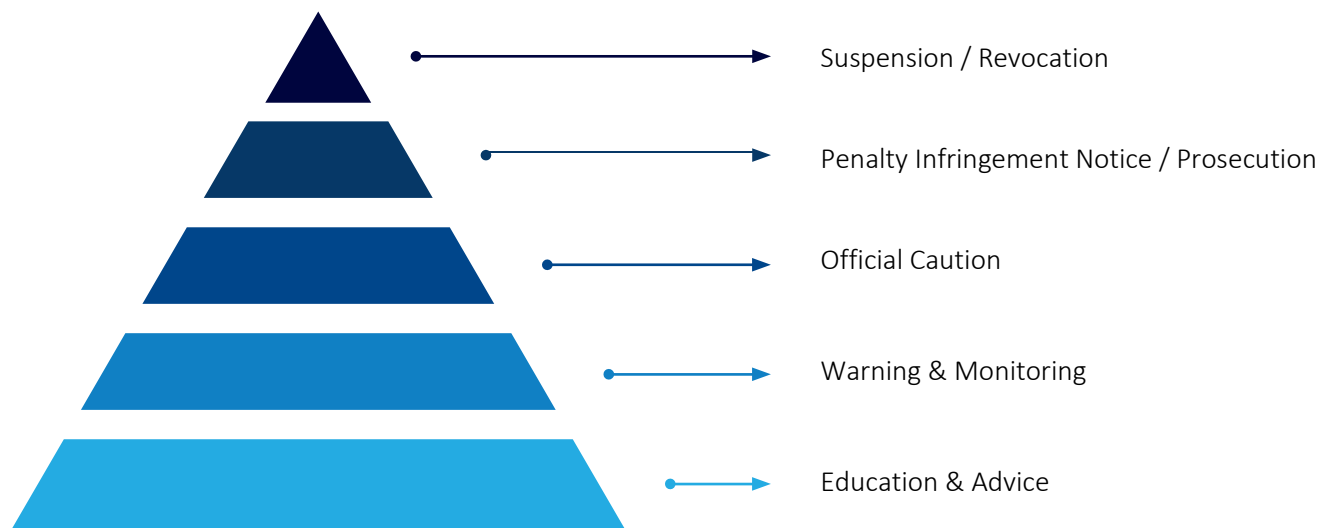


Figure 1

### 13.6 SUSPENSION AND REVOCATION OF APPROVAL

Following an investigation into non-compliance by an Approved Organisation or Approved Trainer, SLED may determine to suspend or revoke the relevant approval<sup>14</sup>. Factors that may warrant such action include:

- the non-compliance is serious
- the non-compliance is systemic
- the Approved Organisation or Approved Trainer has a significant history of non-compliance
- the Approved Organisation or Approved Trainer has a poor attitude toward compliance
- the non-compliance has resulted in the training, assessment and instruction not being delivered to the Commissioner's satisfaction for licensing purposes
- the Commissioner cannot have confidence that non-compliance will not continue to occur
- there are serious concerns about the integrity of the Approved Organisation or Approved Trainer
- the conduct involves fraud, corruption or other criminal offences.

As the decision to suspend or revoke will have generally involved an investigation process (except in exigent circumstances), the affected parties will already have been made aware of the identified non-compliance and been provided with an opportunity to be interviewed or otherwise respond to the allegations.

Although the decision to suspend or revoke approval is not an administratively reviewable decision, as defined by section 7 of the *Administrative Decisions Review Act 1997*, SLED will provide a Notice to Show Cause outlining the reasons why suspension or revocation is being considered and provide an opportunity for the recipient to respond, before making any final decision (except in exigent circumstances).

If the recipient wishes to have the decision reconsidered, they must outline the basis for their reconsideration request in writing addressed to the Director, SLED. If SLED agrees to conduct a review (noting SLED is not under an obligation to conduct such a review), the review will be conducted by an appropriate officer who was not involved in the initial investigation or decision. The outcome of any such review will be provided in writing, generally within 28 days of the request for the review.

<sup>14</sup> Section 27A(2)(b) of the *Security Industry Act 1997*

## 13.7 COMPLAINTS REGARDING SLED ENFORCEMENT OFFICERS

Enforcement Officers are bound by the NSWPF Code of Conduct and Ethics. They are expected to carry out their official functions with courtesy and professionalism. If any staff or students of an Approved Organisation wish to make a complaint about the conduct of an Enforcement Officer, they can do so in the following ways:

- Telephone the SLED Contact Centre on 1300 362 001 and ask to speak with the Manager, Training Regulation or Assistant Director (Industry Regulation)
- Email the complaint to [sled@police.nsw.gov.au](mailto:sled@police.nsw.gov.au) marked for the attention of the:
  - Manager, Training Regulation; or
  - Assistant Director (Industry Regulation); or
  - Director, SLED.

If you do not wish your complaint to be dealt with directly by SLED, further information can be found on the NSWPF website at [https://www.police.nsw.gov.au/online\\_services/providing\\_feedback/feedback\\_compliments\\_complaints\\_and\\_suggestions/feedback/how\\_to\\_lodge\\_a\\_complaint](https://www.police.nsw.gov.au/online_services/providing_feedback/feedback_compliments_complaints_and_suggestions/feedback/how_to_lodge_a_complaint).

Complaints relating to the contents of an Approved Organisation Audit Feedback Report (that do not involve any allegation of unprofessional conduct or misconduct on the part of Enforcement Officers) should be sent in the first instance by email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au).

Any general feedback about SLED's Training Regulation activities can also be sent by email to [sledrtos@police.nsw.gov.au](mailto:sledrtos@police.nsw.gov.au).





