Domestic

Student

Prospectus

2014

Waterford College Pty Ltd
Level 1 Suite 19, 2-24 Station Place WERRIBEE VIC 3030
Tel: (03) 8742-3177 Fax: (03) 8742-3477
Email – info@wfc.vic.edu.au   Website – www.wfc.vic.edu.au
RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

ORGANISATION

Name: **WATERFORD COLLEGE PTY LTD**

Address: **Level 1, Suite 19, 2-14 Station Place**

                 WERRIBEE, VIC 3030

Tel: **(03) 8742-3177**

Fax: **(03) 8742-3477**

Email: info@wfc.vic.edu.au

Web: **www.wfc.vic.edu.au**
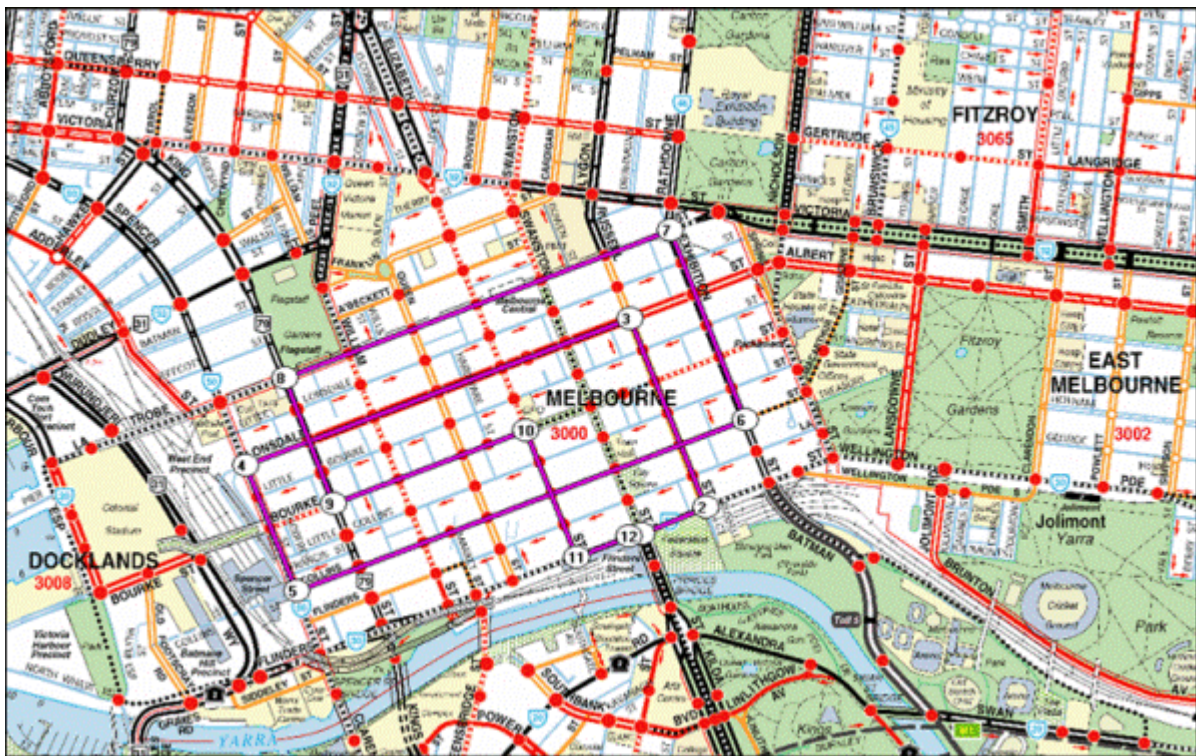
RTO No: **21797**

SNAPSHOT MAP OF MELBOURNE

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RTO No – 21797   ABN – 15 120 092 846
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TABLE OF CONTENTS

Waterford College Pty Ltd
Level 1 Suite 19, 2-24 Station Place WERRIBEE VIC 3030
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Email – info@wfc.vic.edu.au   Website – www.wfc.vic.edu.au
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Version 3 Effective Date: November 2014

SECTION 1

WELCOME

1.1	**Welcome from the Chief Executive Officer**
1.2	***Institute and Services Contacts***

Waterford College Pty Ltd
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1.   Welcome from the Chief Executive Officer

Dear Student,

Thank you for selecting Waterford College to further your educational and training pursuits.

Waterford College is a leading educational provider of vocational education and training in Australia. Your decision to complete Nationally Recognised Training with The Waterford College Pty Ltd is an important step in developing your cognitive process in learning of new skills & knowledge.

We aim to provide a quality learning experience, which meets the needs of all students.

To assist you with your learning we have developed this Student Information & Orientation Guide. Please take the time to read it carefully, and should you require further information contact our staff.

Our team is committed to maintaining our high standards for training. We are proud of the qualifications we issue and continue to be recognized as a quality Registered Training Organization.

We trust that you will find your learning with the Institute rewarding experience. We look forward to your productive feedback to ensure that our products and services meet your expectations.

I wish you a very rewarding experience with Waterford College.

Yours sincerely,

Qazi Ahmad Mukhtar

Chief Executive Officer

Waterford College

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1.1   Institute Contacts

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	 Website: www.wfc.vic.edu.au
	 Address: Level 1, Suite 19
	                    2-14 Station Place
	                    WERRIBEE, VIC 3030
	 Tel: **+61 3 8742 3177**
	 Fax: **+61 3 8742 3477**
	 RTO No: 21797

Trainers	Contact details will be provided on commencement at the Institute. Please see your trainers if you have any questions regarding: • Content of units • Teaching procedures • Assessment • Employability Skills
Academic Manager	Contact details will be provided on commencement at the Institute. Please see your Course Coordinator if you have any questions regarding: • The program as a whole • Academic regulations • Difficulties with study • Decisions to defer from study • Help with reading, writing, note taking and preparation for tests and assignments

Student Administration Office	Telephone**:** **(03) 8742-3177**
	 For matters relating to: Timetable
	                               Course Enrolment
	                               Change of Address
	                               Fee Payment
	                               Forms
	                               Policies and Procedures

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

SECTION 2

FEES AND CHARGES

2.1	Fees, Charges and Course Duration
2.2	Method of Payment
2.3	Payment Schedule
2.4	Vocational Course Materials
2.5	Late Payment of Fees
2.6	Deferral, Suspension or Cancellation
2.7	Recognition of Prior Learning
2.8	Additional Charges

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Version 3 Effective Date: November 2014

2.   FEES AND CHARGES

2.1   Fees, Charges and Course Duration

The Institute charges a range of fees, as listed below and included in your offer letter and enrolment acceptance agreement. You are required to pay all fees and charges on time. This information was made available to you prior to your acceptance the offer to study at The Waterford College Pty Ltd.

Please note that the Institute may change these fees at any time throughout the year.

Courses	Course Duration	Full Fee	Government Funded Fee	Concession Fee
BSB30612 – Certificate III in International Trade	32 Week(s)	$4,400.00	$50.00	$20.00
BSB40507 – Certificate IV in Business Administration	26 Week(s)	$3,750.00	$50.00	$20.00
BSB41107 – Certificate IV in International Trade	32 Week(s)	$4,400.00	$50.00	$20.00
BSB41307 – Certificate IV in Marketing	35 Week(s)	$3,100.00	$50.00	$20.00
BSB51107 – Diploma of Management	26 Week(s)	$3,750.00	$50.00	$20.00
BSB60407 – Advanced Diploma of Management	32 Week(s)	$3,750.00	$50.00	$20.00
Units of Competency	**Course Duration**	**Full Fee**	**Government Funded Fee**	**Concession Fee**
FNSBKG404A – Carry out Business Activity and Instalment Activity Statement Tasks	1 Week(s)	$450.00	N/A	N/A
FNSBKG405A – Establish and Maintain a Payroll System	1 Week(s)	$450.00	N/A	N/A

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2.2   Method of Payment

Fees can be paid by Cash, EFTPOS, Credit Card or Cheque to **The Waterford College Pty Ltd.**

If you are paying by cheque, please write your name and ID number on the back of the cheque.

The Institute's Bank details are:

Account name: The Waterford College Pty Ltd

Bank name: Bank of Queensland

Bank address: Werribee 3000

BSB: 063010

Account Number: 11186460

Swift Code: CTBAAU2S

2.3   Payment Schedule

Notifications of due dates will be sent to the student's correspondence address, prior to the course commencement. It is student's responsibility to provide the Institute with their current mailing address, If possible, notification will be given to student in person and a confirmation from student will be placed on student admin file. If student does not make the payment before or on due date and Institute has not approved any extension there will be a $35 per week late charge accrual from that date forward until payment is made.

Payments plans are available, if requested

2.4   Late Payment of Fees

Students are required to pay their tuition fees and any outstanding charges on the due date specified. If the student fails to make the payment by the due date, the following procedure will follow:

- First warning letter will be sent to student with in 7 calendar days after the due date. Student will have 14 calendar days to make the payment, if still after 14 calendar days student fails to pay outstanding balance it may result that student will not be allowed to attend his/her classes or may even result in cancellation of enrolment. In addition, the $35 per week late charges will be applied. If the student is on payment plan it will be cancelled and student will be required to pay the whole semester's outstanding balance.

- Final warning letter will be sent to student with fee overdue for more than 28 calendar days. If student fails to pay the overdue account within 7 calendar days as stated in final warning letter, Institute will refer student's case to Institute's debt collection agency **The ARMS Global Group**. In addition a $500 late fee will be applied.

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In the case where fee extension request is not approved, the student information is sent to debt collection agency. These details will include:

- Student name, contact detail and total fee that the student is indebted to THE WATERFORD COLLEGE PTY LTD including $500 late charges.

- The student will be informed that they may be contacted by our debt collection agency **The ARMS Global Group** and if required legal action may be taken against the student, and that all legal matters will be dealt with under the jurisdiction of Victoria courts for Melbourne Campus students and South Australia courts for Adelaide Campus students.

- Students willing to resume study at THE WATERFORD COLLEGE PTY LTD will have to re-enrol in the course, provided that they have paid the total outstanding fee in full.

- Where a student continues to have an outstanding fee the following restrictions may apply:

- Loss of access to enrolment records, examination results and academic transcripts

- The inability to graduate until the outstanding debt is cleared

2.5   Deferral, Suspension or Cancellation of a Student's Enrolment

If a student is suspended by the Institute, the fees outlined in the Fees Schedule remain due and payable.

2.6   Recognition of Prior Learning

The Institute is committed to ensuring students prior knowledge and skills are recognised, pursuant to obligations under the Australian Quality Framework. Students must provide all documentary evidence with which to establish and demonstrate appropriate learning outcomes.

The fee for RPL will be as per below of competency. There is no refund of the RPL fee should the student be deemed as unsuccessful in RPL. Note that the student may lodge an appeal on RPL decision at little or no cost – refer to the complaints and appeal policy.

Time taken depends on the complexity of assessment. It is essential therefore that students seeking RPL present all documents required in a timely manner. Please refer to Policies Section 7.2 for details on the process for application for RPL.

Recognition of Prior Learning Fees

Course	Fees for Full Fee Students
Certificate III in International Trade (BSB30612)	$200.00 per unit of competency
Certificate IV in International Trade (BSB41107)	$200.00 per unit of competency
Certificate IV in Business Administration (BSB40507)	$200.00 per unit of competency

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Certificate IV in Marketing (BSB41307)	$200.00 per unit of competency
Diploma of Management (BSB51107)	$200.00 per unit of competency
Advanced Diploma of Management (BSB60407)	$200.00 per unit of competency
Units of Competency	
Carry out Business Activity and Instalment Activity Statement tasks (FNSBKG404A)	$200.00 per unit of competency
Establish and Maintain Payroll System (FNSBKG405A)	$200.00 per unit of competency

2.7   Additional Charges for Full Fee Students

Re-Assessment Re-assessment (Practical) - $200 to $350 per unit (May depend on unit) for further information, please see below in the reassessment section. Re-assessment (Theory) - $100 per unit. For further information see below in reassessment section.		**Change of course**	$250.00
		Document Re-issue	$5.00 Student Id re-issue $75.00 certificate re-issue
Unit repeat	Full price of the unit (pro rata to course fees)	**Campus Transfer**	$250
Recommencement of course after Withdrawal	$200	**Issue of Letters i.e. Invitation letter**	$20 each letter
		Student Photocopying	10c per page
		Fax	$2 per page

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Version 3 Effective Date: November 2014

SECTION 3

POLICIES

3.1	Access and Equity
3.2	Assessment
3.3	Complaints and Appeals
3.4	Critical Incident
3.5	Deferring, Suspending or Cancelling a Student's Enrolment
3.6	Course Progress
3.7	National Recognition of Qualifications
3.8	Workplace Health and Safety
3.9	Records and Archives Management
3.10	Financial Management and Refund
3.11	Student Code of Conduct

Waterford College Pty Ltd
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3.   POLICIES

3. 1   Access and Equity Policy

The Institute aims to provide a learning environment that enables students to access, participate and to successfully achieve outcomes. The Institute acknowledges individual differences and provides an environment for staff, students and other stakeholders by recognising a range of factors which can influence a person's ability to participate and succeed in vocational education, training and employment.

The Institute endeavors to have an inclusive culture with respect to gender, age, abilities, religion, political beliefs and values the contributions which people with diverse backgrounds can make.

The aim of the Institute's Access & Equity Policy is to meet the needs of individuals and the community as a whole through the integration of access and equity guidelines. The key principles of this policy are:

- The Institute recognises the need for implementation of equity principles via the fair allocation of resources.

- All students will be recruited in an ethical and responsible manner, consistent with the requirements of the Institute recognises the right to equality of opportunity without discrimination for all members of the community.

Discrimination and Harassment

Sexual harassment and discrimination are unacceptable behaviours, which will not be tolerated. As well as being unlawful, they are also against the Institute's work ethics and corporate values.

Harassment is any uninvited, unwelcome behaviour of a sexual or racial nature (which may be physical, verbal or visual and/or written including electronic formats), requests for sexual favours, or any other form on unsolicited or unwelcome conduct of another person. If can be male to female, female to male or to a person of the same sex.

It is important to understand that whilst single occurrences of unacceptable behaviour may appear relatively minor, when continued over a long time they can become very stressful. Harassment can be either deliberate or unintentional and seen to be 'normal' or 'in good fun', particularly by the person doing the harassing.

As in any area of personal interaction, the boundaries of what constitutes harassment may vary from person to person. In addition, one person may have different boundaries for different relationships. It is the responsibility of all persons to recognise and respect the boundaries set by others.

Workplace Harassment, Victimisation and Bullying

Workplace harassment almost always has a strong clear focus (eg: sex, race, disability). It tends to focus on the individual because of what not who they are. It has a strong physical component, for example: contact and touch in all its forms, intrusion into personal space and possessions, damage to possessions - including a person's work.

Victimisation and bullying is persistent, offensive, abusive, intimidating or insulting behaviour, abuse of power which makes the recipient feel upset, threatened, humiliated or vulnerable, which undermines their self-confidence and which may cause them to suffer stress.

Victimisation and bullying differs from harassment in that the focus is rarely based on gender, race or disability. The focus is often on competence, or rather the alleged lack of competence.

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These types of behavior are not acceptable in any way by the Institute and are considered disciplinary offences.

The Institute aims to:

- Incorporate access and equity principles and practices in key processes that affect the outcomes for students in the vocational education and training system.

- Achieve equitable access for all current and potential students to vocational education and training services and programs.

- Increase the participation of people who are under-presented in vocational education, training and employment services and programs.

- Increase participation in decision-making processes by people from under-represented groups.

- Encourage positive outcomes for students of the vocational education and training system by giving them enabling skills to participate successfully in vocational education and training services and programs.

- Develop quality support services that enhance students' chances to achieve positive outcomes.

- Where poor literacy and/or numeracy skills present a barrier to participation, additional support will be provided to the participants within the capacity of the organisation's resources to provide such support.

- External support assistance will be accessed as required; there may be extra cost attribute to this external support.

Trainer or delegates to assess learner for any LL&N concerns at induction through ensuring learner completes their own enrolment form and other appropriate documentation	Trainer / Enrolment Officer or delegates	Ongoing

3.2   Assessment Policy

Competence of educators

The Institute will ensure that suitably qualified educators conduct all assessments. Training will be delivered by qualified educators and mapped against each unit of competency that they are either assessing or delivering. In addition, trainers and assessors will have relevant vocational competence and hold a minimum of Certificate IV in Training & Assessment or its equivalent.

Adult Learning Principles

The Institute incorporates adult learning principles throughout the delivery of its training programs. Students are encouraged to take responsibility for their learning and to be active in the learning and assessment process. Courses are designed to be interactive and involve all students in discussion and activities. Student contributions, thoughts and experiences are vital to the success of the course.

For students to achieve competency and be issued with nationally recognised qualifications or Statement of Attainment you will need to:

- Complete any required reading and/or research
- Complete all specified unit assessment tasks
- Complete specified practical assessment tasks

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Version 3 Effective Date: November 2014

- Complete an integrated competency assessment where required

The Institute therefore encourages all students to:

- Prepare for training sessions
- Complete any required reading and/or research
- Participate appropriately in all training sessions
- Undertake all work requirements in line with designated deadlines
- Relay to your educator any problems being experienced
- Participate in evaluation activities and offer constructive advice relevant to course delivery
- Expect that Institute staff will treat you with politeness and respect and reciprocally treat staff in the same manner
- Use established complaints procedures if there is a difficulty in relation to course delivery or you experience difficulties with Institute staff
- Seek assistance with language, literacy and numeracy difficulties

In addition:

- Modifications and adjustments can be made for identified disabilities
- Reference material will be made available to all students
- Referrals to professional counseling will be arranged if the needs of the student cannot be met by Institute staff.

The Institute considers that assessment is an educational tool and its primary function is to direct learning in a purposeful way. Assessment is conducted on the principles of transparency, equity and fairness.

At all times, the assessment methods will reflect the high level of integrity and professionalism of this Institute and all efforts will be taken to safeguard our processes and the qualifications we issue. The Institute is committed to the principles of assessment as outlined in The Australian Recognition Framework and the criteria set out in the relevant training packages.

Commencement of Course

At the beginning of your units of study, your trainer will provide you with a **lesson plan and** Assessment Resources Summary. This guide specifies:

- An overview of the unit Summary, the elements, the performance criteria and the competencies to be achieved
- The assessment tasks - student information
- Due dates
- Penalties for late submission

All assessments must be submitted on or before the due date. Clear, specific and timely feedback will be given to you by your trainer with suggestions for improvement.

Definitions
Competency: a broad concept that describes a student's ability in a range of areas. It covers:

- Task skills. How do you perform individual tasks?
- Task management skills. How do you manage a number of different tasks within a job?
- Employability skills. How would you deal with responsibilities and expectations of the workplace?

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Competency based training is aimed at providing students with the skills, knowledge and understanding to demonstrate competence against standards, which are national and industry endorsed.

Competency standards reflect the knowledge and skills and the application of that knowledge and skills to the standard of performance required in employment and against the same standards. Students are not compared with one another. Standards are developed by industry, based on the organization of work, expressed in terms of workplace outcomes and regularly reviewed to ensure their continuing relevance to the workplace.

Competency based assessment is the process of collecting evidence and making judgments on whether competency has been achieved. This is based on the student being informed about the assessment process and includes the provision of information detailing the requirements for successful performance to be assessed.

Methods of Assessment

Student assessment is conducted using a variety of strategies. The Institute uses learner friendly resources and provides additional support where required. We provide information relating to the requirements of the training program, including assessment details at the beginning of the term. All assessment tools are designed to closely link the training program with the requirements in industry.

The **objectives of the assessment process** are to confirm that students have acquired the competencies identified and to demonstrate that students are competent to the agreed industry standard.

Students are assessed using a variety of methods to ensure reliability and validity. At all times, your trainer will give you explicit instructions on how each assessment is to be done. These methods include, but are not limited to those described in the following table:

Type of Assessment	Description
Written assignments	Students will be required to construct a written piece of work on a topic to demonstrate understanding. Your trainer should help you to construct the format of the assignment.
Tests	Tests may be practical or theoretical, closed or open book, short answers, multiple choices or a close comprehension activity.
Trainer observations	At times, trainers will make observations in class in order to formulate a judgment about competency
Portfolios	These are a collection of evidence using a variety of formats to establish evidence of a competency. Examples might include projects, videos, peer evaluations, CD-Roms, Photos.
Group Project Work	Group membership (such as leader, scribe, and reporter) may be assigned or may be a free choice. All members are to commit equally to the project. Successful team or group work is an integral part of both the learning and working environment.
Journals	Journals take many formats and can represent a factual piece of evidence over time.
Oral presentations	Students are expected to deliver oral presentations in order to refine techniques as well as impart information. Generally oral presentations include visual or audio material, allow some audience involvement, show evidence of planning, and conform to time constraints.

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Class participation	Students are expected to actively contribute to classroom learning. This will necessitate reading material or completing assigned tasks as required. The class is considered a team/group to which students show commitment.
Demonstration	Practical demonstrations to reveal knowledge of topic. Some competencies must be demonstrated in a practical manner.
Case studies	This approach to assessment usually analyses evidence using real life situations.
Research	Students are expected to use correct format. Generally students must research, deliver information in a readily accessible form, conclude and recommend on the basis of their research.
Interviews	You may need to interview people in order to gather data. You teacher will instruct you on a format for interviewing.
Practical demonstrations	To reveal knowledge of topic. Some competencies must be demonstrated in a practical manner
Self paced learning	Some units require students to engage in the self-paced learning approach in which instruction and assistance are provided for students to work independently through material at their own speed. Specific outcomes such as assessments and time lines must be met.
Field / industry placement	During field/industry placement, students will work, observe, investigate, evaluate, criticise and report orally or in written form. In all cases, students are to demonstrate in various ways after the field experience that they have understood the application of knowledge initially gained in class.

Competency Based Training and Assessment

In keeping with the principles and practices of competency based assessment, the determination of competency will be made on an aggregate of evidence, not in isolation.

Once you have been assessed against these standards, you will receive a grade of "C" for Competent and "NYC" for Not Yet Competent. Not Yet Competent means that you have not met the requirements and will be given the opportunity to fill any competency gaps to obtain competency. If you do not fulfill all requirements of a qualification, you will receive a Statement of Attainment, rather than a qualification.

All units in your course are delivered and assessed strictly in accordance with the Unit outlines issued to you at the beginning of the term. Delivery and assessment of Competency is strictly in accordance with the relevant Training Package.

Each part of a Unit of competency must be addressed for a student to be graded as "Competent". If a student is deemed "Not Yet Competent", under competency based training and assessment, students are provided with three opportunities to achieve competence. Failing this, the student will need to repeat the unit of study.

- **LEARNER GUIDE – Activities and Assessment only Practice**
- **ASSESSEMENT DUE – END OF THIS UNIT**
- **ASSESSEMNT METHOD – Trainer/Assessor will provide assessment tools end of this unit.**

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No – Practical (No Worked Based Training Required)

This qualification is based on only in the class-room and therefore, there is no work-based training required.

What evidence is required?

Your trainers will gather evidence throughout your course. There are a variety of assessment tasks that will need to be administered.

Your assessment tasks are designed to ascertain how you are progressing and what progress you have made towards achieving the required competencies.

More formal assessment strategies are used to consolidate the evidence bank that you have been developing.

Absence on day of assessment

If you are absent on the day of assessment, you must inform your trainer or the Institute prior to the day if possible.

A medical certificate will be required as evidence if you were sick and this must be produced at the next class.

Late for a test

If you are late for a test or exam, you will be required to complete the test/exam in the specified time period. No extension will be granted.

Due date for assignments

All assignments must be handed in on the due date and time specified by your trainer.

A late assignment will incur a 10% deduction of marks per day.

Submission of assignments

- It is preferable that all assignments be typed
- Secure all pages of your assignment with a stapler
- Assignments cannot be submitted via email or fax.
- A cover sheet must be completed and signed before submitting your work
- Keep a copy of all work you submit
- Submit assignments directly to your trainer on the day and time specified. Your assignment will be stamped.

Excursions/Industry visits

These are an integral part of your learning. Each planned excursion is linked to an element of competency within your unit. These visits may include course work and a written report to be completed and will count towards the assessment of the unit.

Students who do not participate in excursions/industrial visits may not meet the requirements of the unit and may be required to repeat the unit.

Applying for Recognition of Prior Learning (RPL) and Credit Transfer (CT)

You may be able to shorten the length of your chosen course by measuring your skills acquired through work or life experiences, or through qualifications obtained from formal studies or training. AQF Qualifications and Statements of Attainment, issued by any other Registered Training Organisation (RTO) will be recognised by the Institute.

The Institute offers RPL and CT to all applicants at the beginning of their course.

If you want to apply for RPL or CT please follow the below process:

Waterford College Pty Ltd
Level 1 Suite 19, 2-24 Station Place WERRIBEE VIC 3030
Tel: (03) 8742-3177 Fax: (03) 8742-3477
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Version 3 Effective Date: November 2014

- Complete the **RPL application form** available from the Institute Reception or website www.underconstruction and submit that form to student administration office. Once we received the form you will be assigned a relevant RPL assessors to your qualification as per below who will provide a brief explanation of the process and advice. Your assessor will also supply the appropriate section of the RPL Assessor Kit (section B) which includes a section on 'self assessment', student should then complete the self assessment against the course learning outcomes (also to be supplied by your assessor) and if they believe that RPL will be successful then they need to complete the remaining parts of application form and submit to Institute with applicable fee. Your assessor will provide documents to student either personally or via the mail system.

- Completing the CT application from the Institute Reception or website www.under construction
- Attach all required supporting evidence i.e. AQF qualification issued by other RTO for CT.
- Pay the relevant fee.

Plagiarism, colluding and cheating

Plagiarism, colluding and cheating are considered serious offenses and can constitute academic misconduct. These behaviours are strictly prohibited at the Institute. They are in breach of the Institute's policies of learning and teaching. Plagiarism, colluding and cheating violate the Institute's system of having a fair and equitable system of grading with respect to maintaining integrity and professionalism.

You must submit your own original work and not let any other student copy your work. If you allow someone to copy your work, you are colluding and both students will fail the assessment task.

It is your responsibility to safeguard against plagiarism, colluding and cheating by protecting your written work and assignments, computer disks, USBs and notes. Do not allow any other student access to your work as you may also be penalised. If you believe your work has been plagiarized, please report the matter to your trainer.

Your trainer will explain you how to do the referencing once you start your course and also at your orientation and induction session you will be given information on plagiarism, colluding and cheating.

Plagiarism, Colluding and Cheating is defined as:

- Copying word for word sentences or paragraphs from one or more sources without acknowledging their origin. This can include substantial extracts from books, lecture notes, websites or other work

- Using very close paraphrasing of sentences or paragraphs without referencing

- Submitting another students work in whole or part as your own

- Submitting work which has been written by someone else on your behalf.

Any student caught cheating, committing plagiarism or colluding on any piece of assessment, will be deemed *Not Yet Competent* and their names will be registered on a database for future monitoring of similar occurrences.

- Where required, students will be referred for additional academic support and assistance.
- If these behaviors recur, the student will need to repeat the entire unit of competency.
- Caution letters will be placed on the student's file.
- Recurrent plagiarism, collusion and cheating may also result in suspension and exclusion from the Institute.

Re-assessments

If a student has been deemed as Not Yet Competent in a unit of competency, they may apply for a re-assessment. An *Application for Re-assessment Form* will need to be completed. The procedures for re-assessment are:

1. Complete the *Application for Re-assessment* form.

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Version 3 Effective Date: November 2014

2. Book in a time for re-assessment at Student Administration at least one week in advance

The Institute will allow students 3 attempts at assessment, ie the original assessment and 2 re-assessments, to provide sufficient evidence of competency for each unit at no cost to student.

Students will be offered the opportunity for re-assessment if they are *Not Yet Competent* at the first attempt, within a reasonable time negotiated with the teacher. This re-assessment can only be given if the student's attendance is 70% or above or student has any compelling circumstances for that term.

If the student has not passed after the first re-assessment, the student will be given another opportunity within a reasonable time negotiated with the teacher. This re-assessment can only be given if the student's attendance is 70% or above or student has any compelling circumstances for that term.

If the student has not passed after the second re-assessment, the student will be given another opportunity. However, there will be an associated cost of $100.00 for a Theory test and between $200.00 and $350.00 for Practical tests depend on the unit of competency, irrespective of attendance. All fees must be paid in advance. It is the student's responsibility to learn the material for re-assessment or ask for additional help.

If the student has not passed after the three re-assessments, the student will be required to re-enrol in the competency and pay the required fees.

Classroom Management
Decisions related to both classroom management and assessments are the responsibility of the class trainer. Students are expected to comply with trainers' instructions and decisions. Students are encouraged to speak with their trainer about any learning and assessment issue which may be affecting their progress. Issues related to course progress, attendance and participation in a unit can be discussed with the trainer. Students can also speak with the Academic Manager.

Appeals
Students have the right to appeal the marks awarded for their assessments, if they believe the assessment process was invalid, inappropriate or unfair. The following steps must be followed before considering an appeal:

- Discuss the matter with your trainer
- Speak to the Academic Manager.
- If you are still not satisfied, you can lodge an appeal within 10 working days of the result being released.

Grounds for consideration of an appeal will include:

- All work has been submitted on the due date
- A medical certificate is produced to indicate that the student's illness had an impact on the results
- The assessment has not been marked in a fair and equitable manner
- An error has been made.

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3.3   Complaints and Appeals Policy

STUDENT COMPLAINTS POLICY

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:
- SNR 15.1, 16.2, 16.5, 16.7

The Complaints Policy is to provide a fair and equitable process for resolving complaints or conflicts between clients, employees, students or others that deal with the organisation.

Requirements

Students may raise any matters of concern relating to the training delivery and assessment, the quality of the teaching, student amenities, discrimination, sexual harassment and other issues that may arise.

Students are encouraged to resolve their concerns and complaints using this procedure and the Institute will ensure that students have a clear understanding of the steps involved.

A hard copy is available upon request from the Student Services and Records Manager.

All complaints will be handled professionally and confidentially in order to achieve a satisfactory resolution and managed in an equitable and efficient manner.

Unless otherwise decided by the Training Manager, all formal complaints will be handled by the Student Services and Records Manager. If the formal complaint is in respect to the Training Manager; the Chief Executive Officer will handle the complaint.

At any stage in the complaints process, students are entitled to have their own nominee included in the resolution process.

Students will be provided with details of external authorities they may approach, if required.

Where a complaint cannot be resolved through discussion and reconciliation, we acknowledge the need for a Formal Complaint process.

If a student is concerned about the conduct of the Institute and wishes to lodge a complaint against the Institute, they may:
- Contact the Regulatory Authority in their state.
- The Regulatory Authority may suspend or cancel the registration of the Institute or course.

A student's enrolment must be maintained during the complaints and/or internal appeals process and the outcome has not been determined.

Nothing in this policy and procedure inhibits student's rights to pursue other legal remedies. Students are entitled to resolve any dispute by exercising their rights to other legal remedies. Students wishing to take this course of action are advised to contact the Law Institute of Victoria www.liv.asn.au, for a referral to a solicitor.

If there is any matter arising from a student complaint that is a systemic issue which requires improvement action, a Continuous Improvement Action Plan will be raised and acted on by the Training Manager.

Responsibility

The Student Services and Records Manager are responsible for implementation of this policy and ensuring that staff and students are made aware of its procedures.

Students are given information about the complaints process prior to and during their orientation programme.

Definitions

The *Formal Complaint Process* is the process which takes place if a grievance cannot be resolved informally (for example, through affected parties discussing the matter).

Principles

The principles behind the Waterford College's complaints process are:
- The importance of seeking a resolution to any conflict between the Waterford College and clients, employees or students in a professional and ethical manner
- The Waterford College recognises that all clients, employees and students have the right to and are encouraged to openly discuss expectations and problems, or to lodge a complaint where they consider there are genuine grounds for a complaint
- The principles of fairness, ethics and social justice will be promoted in all the Waterford College dealings with clients, employees and students

Objectives

With these principles in mind, the objectives of this policy are to:
- Incorporate conflict management principles into all processes involved in lodging a complaint.
- Develop a procedure for lodging and dealing with a complaint that is easily accessible and not unduly complex.
- Treat all complaints with honesty, integrity and fairness to all concerned.
- Assist clients, employees and students with access to an independent review of a complaint; should the need arise.
- Ensure complaints are processed in an appropriate timeframe.

Implementation

The Complaints Policy will be implemented through the Quality System, and be audited as a Procedure - Appeals/Complaints.

Method

Informal Process

Any student with a question or complaint may raise the matter with the staff of The Institute and seek an informal resolution of the question or complaint. Trainers are the preferred first point of contact with students. Any issues related to training will be managed by the trainer.

Questions or complaints dealt with in this way do not become part of the formal complaint process and will not be documented, recorded or reported on unless the Institute staff member involved determines that the issue, question or complaint was relevant to the wider operations of the Institute, or if the student requests that the matter be documented and placed on his or her student file.

Students who are not satisfied with the outcome of the question or complaint are encouraged to register a formal complaint.

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Formal Complaints Process

Students who are not satisfied with the outcome of the informal process, or who want to register a formal complaint may do so. To register a formal complaint, a student must complete the student Complaint Form. The Student Services and Records Manager will contact the student and arrange a meeting. At this meeting, the complaint can be raised and a resolution attempted.

Waterford College Pty. Ltd. Complaint Forms are available from the administration office.

All formal complaints will be recorded in the Complaints and Appeals Register.

Prior to or at the stage of the complaint meeting, the complaint must be recorded in writing, be signed and dated by the complainant, Student Services and the Records Manager.

The student may be accompanied and assisted by a support person at any relevant meetings.

The Student Services and Records Manager will then attempt to resolve the complaint with the student and any other parties who may be involved.

The resolution phase must commence within ten (10) working days of the complaint and supporting documentation being lodged in writing and all reasonable measures will be taken to finalise the   process as soon as practicable.

At the end of the resolution phase, Student Services and the Records Manager will report, in writing, the Institute's decision to the student. The Institute decision and reasons for the decision will be documented by the Student Services and Records Manager, and placed in the student's file.

Following the resolution phase, the Institute must implement the decision as conveyed to the student.

If a student is dissatisfied with the outcome of the formal complaint process, the student may initiate the appeals process by completing the Appeals Form. The appeals form is available at the administrative offices.

The student has twenty (20) working days from the date they receive notification of the outcome of the formal complaint to lodge their appeal. The appeals process then applies.

Any complaints that are lodged as a result of or related to criminal activities are outside this process and shall be referred to the appropriate authorities or legal representatives for their attention.

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Version 3 Effective Date: November 2014

Complaints Process Flowchart
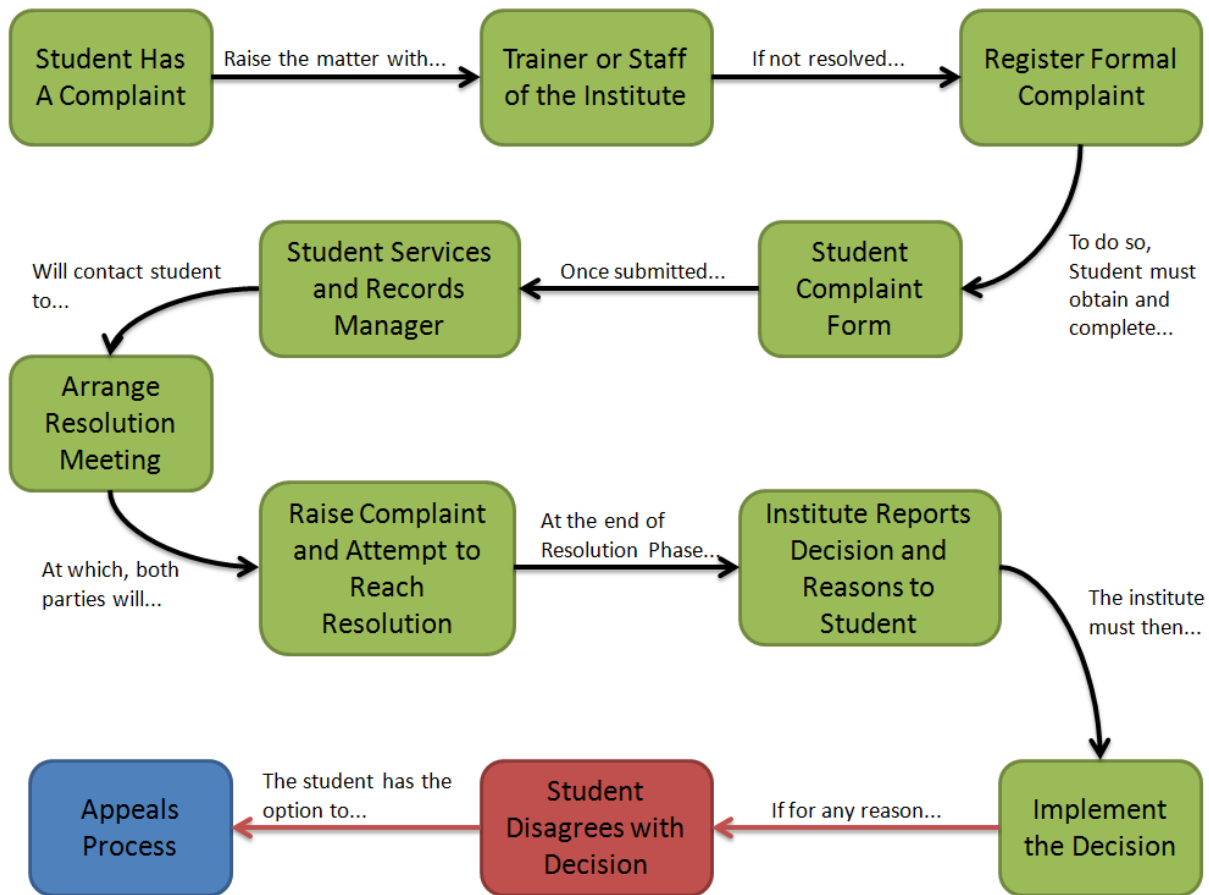
STUDENT APPEALS POLICY

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:

- SNR 15.1, 16.2, 16.5, 16.7

The Appeals Policy is to ensure that guidelines are established for clients and students who appeal against complaints or assessment decisions, and to develop a fair and equitable process for appeals.

Requirements

Appeals may arise from a number of sources including appeals against assessment, appeals against discipline actions and appeals against decisions arising from complaints. The essential nature of an appeal is that it is a request by a student to reconsider a decision made by the Institute.

All training and assessment related appeals will be managed by the Training Manager, unless the appeal is against a decision of the Training Manager. In that case, the appeal shall be managed by the Chief Executive Officer. All other appeals will be managed by the Student Services and Records Manager.

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Version 3 Effective Date: November 2014

Students are given information about the appeals process prior to and during their orientation programme.

Responsibility

The Student Services and Records Manager are responsible for implementation of this policy and ensuring that staff and students are made aware of its procedures.

Definitions

An *Appeal* is a request by a student to reconsider a decision made by the Institute.

The *Formal Appeal Process* is the process which takes place if a complaint cannot be resolved informally (for example, through affected parties discussing the matter).

Principles

The principles behind the Waterford College's appeals process are:
- The Waterford College encourages feedback that is both positive and/or negative
- Every student or client has the right to lodge a concern where they consider there is an issue regarding an assessment result
- That the process of lodging and dealing with an appeal is fair and equitable for all parties concerned
- The assessment of students in a course will be made with professionalism; however, students have the right to request an independent review of their assessments.

Objectives

With these principles in mind, the objectives of this policy are to:
- Develop a procedure for lodging an appeal against a decision made by the Waterford College in a complaints dispute.
- Develop a procedure for lodging an appeal against an assessment result.
- Assist clients and students with access to an appeal procedure and ensuring that appeal system is accessible and not unduly complex.
- Allow students access to an independent assessment review by an outside body with appropriate qualifications, should the need arise.

The Appeals Policy will be implemented through the Quality System and be audited as a Procedure – Appeals/Complaints.

Method

Internal Process

Students have twenty (20) working days from the date they receive notification of the outcome of a formal complaint or assessment decision to lodge their appeal.

Students wishing to lodge an appeal in respect to being notified that the Institute intends to suspend or cancel the enrolment of the student, must do so within twenty (20) working days of receiving notification.

The Institute will attempt to resolve the appeal internally and, if this cannot be achieved, the formal appeals process will commence.

A student's enrolment must be maintained whilst an internal appeal is in progress and the outcome has not been determined.

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Version 3 Effective Date: November 2014

The appeals process, both internal and formal, is initiated by a student completing the student Appeals Form. The Appeals Form is available at the administration office.

All internal and formal appeals are recorded in the Complaints and Appeals Register.

The student may appeal on the following grounds:
- The Institute has failed to record or calculate a student's marks satisfactorily.
- Compassionate or compelling circumstances.
- Extenuating circumstances relating to the welfare of a student apply.
- The Institute has not implemented its intervention strategy in accordance with its documented policies and procedures.
- The Institute has not made relevant policies available to the student.

Where the student's appeal is successful, the Institute will uphold the decision.

Students appealing an assessment, including RPL outcome, will be given the opportunity for reassessment by a different assessor selected by the Institute. Costs of reassessment will be met by the Institute except for:
- Students will not be charged additional fees if:
  - The reassessment has occurred in a timely manner.
  - The student is being reassessed during the same study period for a particular unit of competency.
  - The reassessment is being conducted as a result of an appeal.
  - If the student has not been able to attend the unit for genuine reasons and is ready to attend the unit according to the reassessment timetable and prior to term break.

- Students will be charged $100 per assessment if:
  - The student is being reassessed during term break.
  - The student agrees to be reassessed but fails to attend.
  - The student has failed in their obligation to complete assessments in a timely manner.

The recorded outcome of the assessment appeal will be the most favourable result for the student from either the original assessment or the reassessment. If the student is not satisfied with the result of the reassessment, the student may make a request of the Institute pursuant to clauses 1 – 2 of the Formal Appeal Process. The reassessment shall be regarded as the completion of the internal appeals process.

The resolution phase must commence within ten (10) working days of the appeal and supporting documentation being lodged in writing and all reasonable measures will be taken to finalise the   process as soon as practicable.

For all internal appeals:
- The student will have an opportunity to present his or her case in person, or, if the students elects, in writing.
- A student may be accompanied and assisted by a support person at any relevant meetings.
- The outcome of the internal appeal and reasons for the outcome will be recorded in writing and signed and dated by the student and the Institute and placed in the student file.
- The student will be provided with a copy of the signed written document.
- If the student appeal is successful the Institute must implement the decision as conveyed to the student.

External Formal Appeal Information

1. If the student is not satisfied with the outcome of the internal process, the student may request the Institute to assist the student to lodge a formal appeal to an external mediator. The external independent mediator is the Australian Council of Private Education and Training (03 94161355). The Institute will ensure that there is either no cost or only a minimal cost, to the student, if the student elects to appeal to the external mediator.

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Version 3 Effective Date: November 2014

2. The Institute will ensure, if requested by the student, that the formal appeal is lodged within three (3) working days after the request from the student.

3. If the appeal remains unresolved, there are no further avenues within the Institute for appeals after an internal appeal phase has been completed.

4. All internal and formal appeals are recorded in the Complaints and Appeals Register.

Student Appeals Process Flowchart

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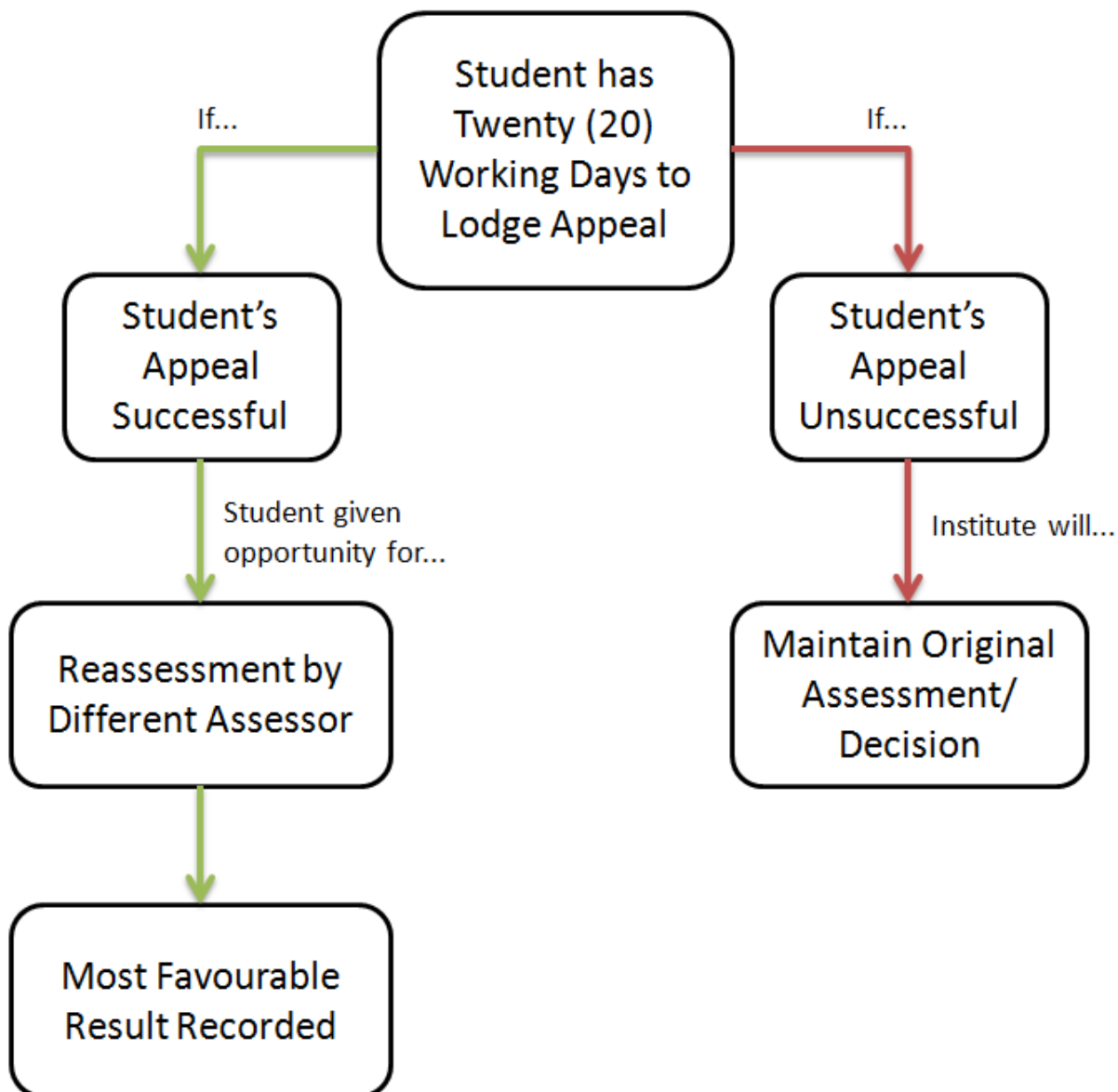
3.4   Critical Incident Policy

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:
- SNR 15.1,16.2, 17.1, 17.2

Requirements

Registered training organisations must have a documented critical incident policy together with procedures that cover the action to be taken in the event of a critical incident, required follow-up to the incident, and records of the incident and action taken.

Critical incidents are not limited to, but could include:
- Missing students
- Severe verbal or psychological aggression
- Death, serious injury or any threat of these
- Natural disaster
- Issues such as domestic violence, sexual assault, drug or alcohol abuse
- Any non-life threatening event that could still qualify as a critical incident

When a student dies or sustains serious injury, the Institute may be required to assist the student's family. This may include:
- Hiring interpreters
- Making arrangements for hospital/funeral/memorial services or repatriation
- Obtaining a death certificate
- Assisting with personal items and affairs including insurance issues

Responsibility

The WH&S Officer and Student Welfare Manager are responsible for implementation of this policy and to ensure that staff is aware of its application and implement its requirements and procedures.

Definitions

Critical Incident – A traumatic event, or the threat of such (within or outside Australia), which causes extreme stress, fear or injury.

Method

Any Institute staff member receiving news or information regarding a critical incident must contact the Student Welfare Manager.

On receipt of news or information regarding a critical incident, the Student Welfare Manager in conjunction with the Chief Executive Officer, must:
- Create for themselves a clear understanding of the known facts.
- If an emergency exists contact the relevant emergency services by phoning 000.
- If counselling services are required contact Life Line on 131 114 or similar.
- Plan an immediate response.
- Plan ongoing strategies.

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Version 3 Effective Date: November 2014

- Allocate individual roles/responsibilities for ongoing tasks.

Where the critical incident involves suspected criminal activity, the matter must be reported to the Police, regardless of any issues of consent or confidentiality.

If the critical incident is of a police nature or workplace health and safety issue, ensure the area or site is not disturbed.

Based on an evaluation of the critical incident the Student Welfare Manager in conjunction with the WH&S Officer must, where appropriate, implement the following:

- Contact with next of kin/significant others
- Inform police and any other organisations that may be able to assist such as community/multi-cultural organisations or phone-counselling services.
- Informing Institute staff and students
- Prepare a guideline to staff about what information to give students
- Prepare a written bulletin to staff and students if the matter is complex
- Briefing staff and delegating a staff member to deal with telephone/counter inquiries
- Managing media/publicity
- Identify students and staff members most closely involved with the incident and ensure they are offered support and counselling
- Arrange a time and place for an initial group/individual debriefing session with Counsellor/s
- Maintain privacy principles
- Arrange access to emergency funds if necessary

Critical Incident Reaction and Management Procedures Flowchart

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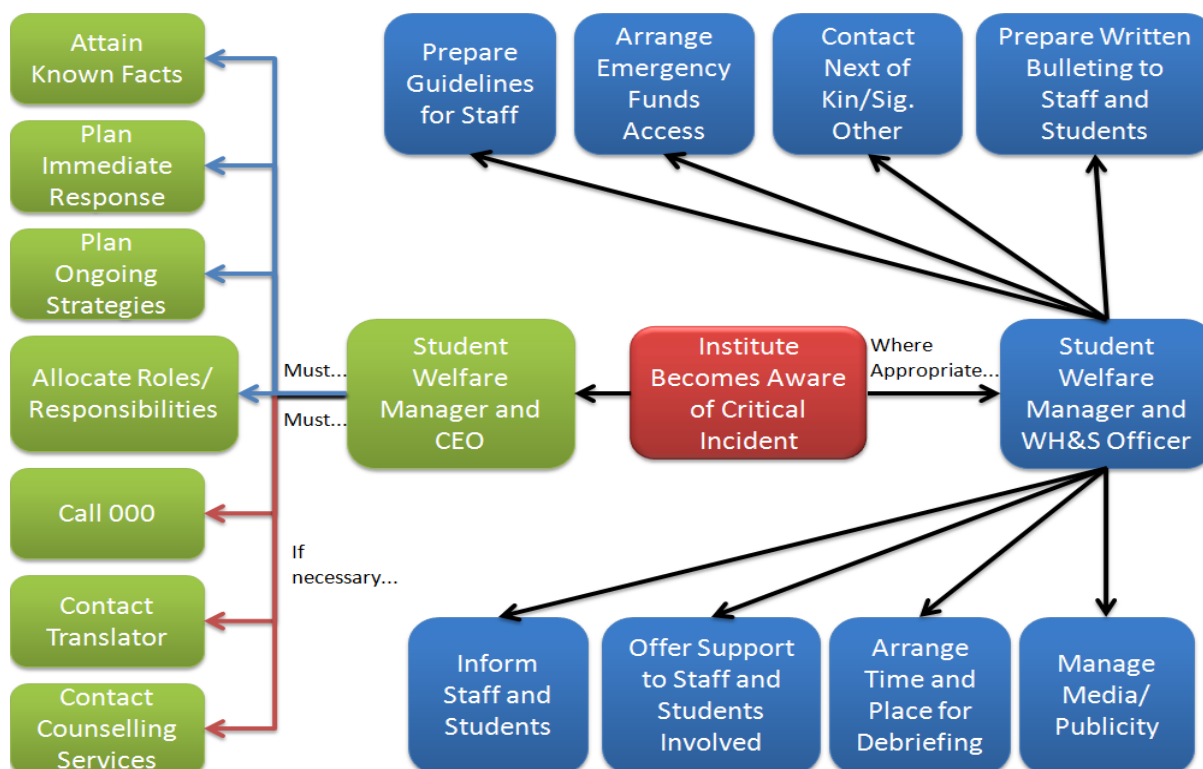
Critical Incident Report

The WH&S Officer in conjunction with the Student Welfare Manager must record the incident and the following key details in the Critical Incident Report, to include:

- The time of the incident
- The location and nature of the incident
- The names and roles of persons directly involved in the critical incident
- The action taken by the Institute
- The organisations and people contacted by the Institute

The institute must ensure the Critical Incident Log is updated accordingly.

The Critical Incident Report and Critical Incident Log are stored within the Critical Incident file, which is located on the Institute campus. A copy of the Critical Incident Report is also stored in the student's file, if applicable.

3.5   Deferment, Suspension and Cancellation of a Student's Enrolment Policy

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:

- SNR 16.1, 16.5, 17.1, 17.2, 17.4

Requirements

The provision of education and training services to students in Australia is regulated by the Standards for NVR Registered Training Organisations (SNR), the Australian Qualifications Framework (AQF) and the regulatory body.

Responsibility

The Training Manager, Student Services and Records Manager, and Finance Manager are   responsible for implementation of this policy and to ensure that staff is aware of its application and implement its requirements and procedures.

Definitions

Deferment or *Suspension* - *temporarily put studies on hold* (adjourn, delay, postpone). A student may request a temporary deferment or suspension to his or her enrolment on the grounds of compassionate or compelling circumstances. The Institute may also initiate suspension of a student's enrolment due to misbehaviour of the student.

Suspension of enrolment may not necessarily be due to misbehaviour – suspension of enrolment   may also be initiated by the student.

Method

Students will be informed prior to enrolment of the grounds on which their enrolment may be deferred, suspended or cancelled through the Student Handbook course enrolment literature, and student induction.

Students wishing to defer the commencement of studies, temporarily suspend or cancel their studies must apply to do so in writing to the Institute. Students should use the Student Request - Deferral, Suspension or Cancellation Form. Students may either submit by hand, email, fax, or if necessary, telephone the Institute and advise of their intention to defer, suspend or cancel their studies.

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Version 3 Effective Date: November 2014

Copies of all documentary evidence will be placed in the student's file.

Student Initiated Deferment, Suspension or Cancellation

Students may apply for deferment, suspension or cancellation of their studies, if they have good reason for doing so. For example:

- Compassionate or compelling circumstances

Without attempting to define the term compassionate or compelling circumstances, the Institute will consider whether the student's application is the result of circumstances beyond the control of the student. For example:

- Illness, injury, or a trauma that impacts on the student
- Serious illness or death in the family
- Where the Institute is unable to offer a pre-requisite unit

The student completes a Student Request - Deferral, Suspension or Cancellation of Enrolment form and must provide documentary evidence of the circumstances upon which they are relying, such as a medical certificate, which will be placed in the student's file.

The Training Manager or Student Services and Records Manager will review the request. The Institute may choose to grant or decline any student's request, in accordance with this policy and the circumstances outlined above.

The student will be advised of the outcome and, if they are not happy with the decision, will have the right to appeal within twenty (20) working days of the date of receiving this advice from the Institute.

Student Initiated Deferment, Suspension or Cancellation Process Flowchart
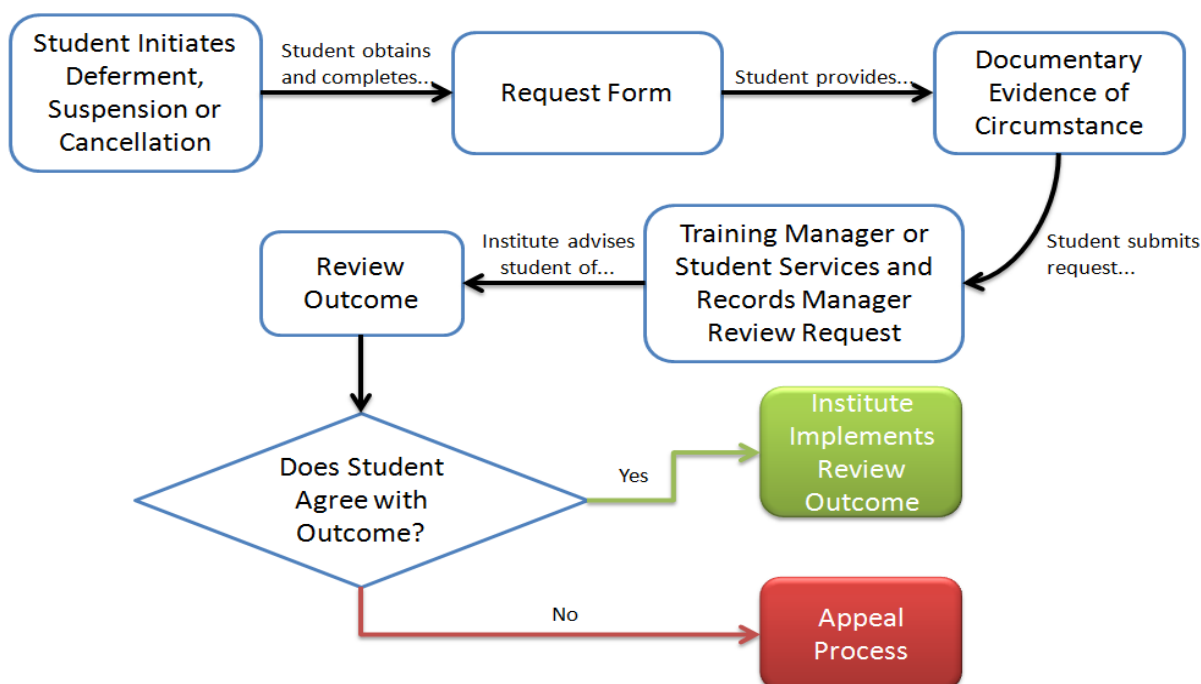
Retrospective student initiated deferral of commencement or suspension of enrolment can only be granted in the case of a medical emergency, accident or injury and must be supported by a medical certificate.

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Provider Initiated Suspension/Cancellation

In the first instance, the Institute will take all reasonable steps to resolve any disciplinary matters   through their Intervention Strategy.

The Institute may choose to suspend or cancel a student's enrolment if it deems the student's behaviour to be unacceptable. For example:

- Where a student has failed to register for a compulsory study period.
- Where a student has failed to attend classes for ten (10) consecutive training days without prior approval, or without a medical certificate from a registered medical practitioner.
- Where a student deliberately under-enrols without the Institute's approval.
- Where a student has been found to be cheating, plagiarising or otherwise in breach of the Academic Misconduct Policy as set out in the Policies and Procedures Manual.
- Where fees in excess of $500 are due and payable by a student for more than seven (7) days.
- Swearing, fighting, aggressive behaviour, abusive language, whether to other students, staff members, or any other person at the Institute's premises.
- Conduct that is discriminatory and/or threatening on the basis of religion, culture, race, sexual differences, age, disability, or socio-economic status, whether to other students, staff members, or any other person at the Institute's premises
- Where a student has breached the student Code of Behaviour.
- Where a student has failed to maintain satisfactory course progress for two (2) consecutive study periods.

Appeals Process

Should the Institute initiate the suspension or cancellation of a student's enrolment, we will notify the student in writing with an Intent to Suspend / Cancel warning letter and allow the student twenty (20) working days from expected receipt of notification, to access the Institute's internal appeals process, unless extenuating circumstances relating to the welfare of the student apply. Any claim of extenuating circumstances will need to be supported by appropriate evidence. Extenuating circumstances may include the student:

- Is missing.
- Has medical concerns, severe depression or psychological issues which lead the provider to fear for the student's wellbeing.
- Has engaged or threatens to engage in behaviour that is reasonably believed to endanger the student or others.
- Is at risk of committing a criminal offence.

Extenuating circumstances will not include any misbehaviour that leads to a criminal conviction. In this case the student's enrolment will be cancelled immediately.

As per the Institute's Appeals Policy, the student may choose to access an external formal appeals process following the internal appeals process.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

3.6   Course Progress Policy

Aim

The purpose of this policy and procedure is to define the system used to meet the requirements of:
- SNR 16.5, 17.1, 17.2, 17.4

Responsibility

The Student Services and Records Manager, Training Manager and Compliance Manager are responsible for implementation of this policy and to ensure that staff is aware of its application and implement its requirements and procedures.

Requirements

The Institute must be proactive in notifying and counselling students who are at risk of failing to meet their course progress requirements.

The provision of education and training services to students in Australia is regulated by the Standards for NVR Registered Training Organisations (SNR) and the Australian Qualifications Framework (AQF) and the regulatory body.

Method

1. At the completion of a study period the Student Services and Records Manager will ensure course progress of all students is reviewed and identify those students who have failed to achieve competency in at least 50% of the units required to be undertaken in the study period. For the purposes of this policy, the Institute will review courses in excess of six months duration, every three 12 Weeks.

2. A failure to achieve competency in at least 50% of the units required to be undertaken in one (1) study period will trigger a review of course progress and implementation of an intervention strategy by the Institute.

3. Within fifteen (15) working days of the completion of a study period the Student Services and Records Manager will initiate an ISM Course Progress Letter 1 to all students identified as having failed to achieve competency in at least 50% of the units required to be undertaken, requesting them to attend an Intervention Strategy meeting (ISM). At the Intervention Strategy meeting (ISM) the Student Services and Records Manager and Training Manager will consider, and implement if applicable, the following intervention strategies:
   - Identify the problems that are impeding the course progress of the student.
   - Arrange with the student for additional work to be undertaken within an agreed time-frame using the study time table.
   - The completion of all outstanding assessments according to an agreed timeframe.
   - Assessing whether the course is still suitable for the student.
   - Whether the re-assessment of any task/s is appropriate.
   - Arranging for the review of any agreed additional work.

4. Students failing to attend their scheduled ISM will be sent an ISM Course Progress Letter 2 within five (10) working days to arrange another Intervention Strategy Meeting and also be contacted by phone.

5. Copies of the ISM Course Progress Letters 1 – 2, the Intervention Strategy Meeting Record and any other relevant documentation will be placed in the student's file.

6.1 In addition to the identification process referred to in section 1 above, the Student Services and Records Manager will attempt to identify those students who are at risk of not meeting the course progress requirements in a study period. Students "at risk" include:

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Version 3 Effective Date: November 2014

- Students who have failed to attend classes for ten (10) consecutive training days without prior approval, or without a medical certificate from a registered medical practitioner.
- Where a student has been assessed as Not Yet Competent in the first unit in a study period.

6.2 The Student Services and Records Manager will initiate immediate contact with the student "at risk" by phone, email or mail and arrange a meeting to ascertain the reasons why the student has failed to attend or has been assessed as Not Yet Competent. The Student Services and Records Manager will decide whether any of the strategies set out in section 3 above should be implemented.

7. All documented records will be placed in the student's file.

Course Progress Flowchart
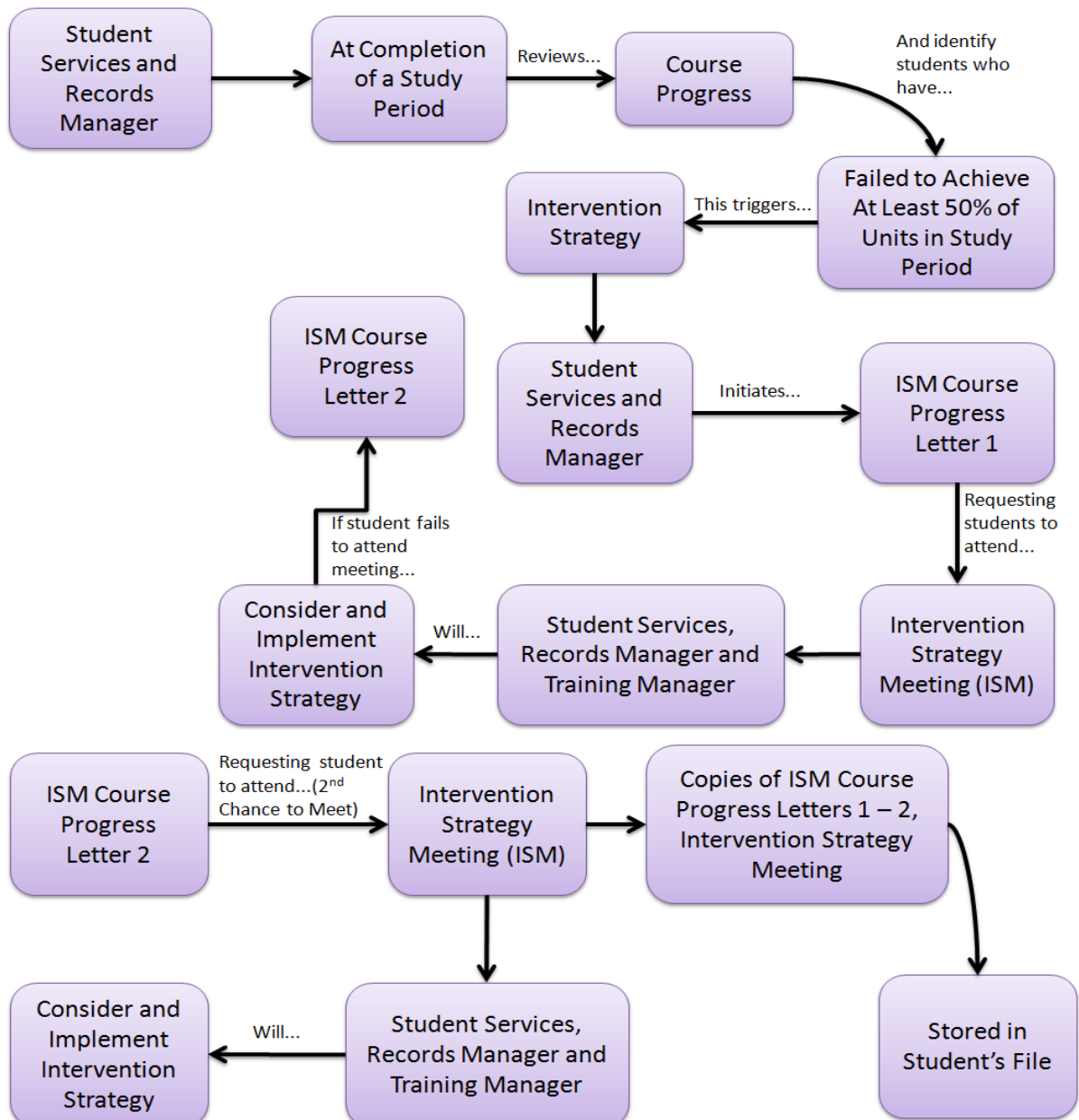
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Version 3 Effective Date: November 2014

8. If a student fails to maintain satisfactory course progress for two (2) consecutive study periods, this will be regarded as Student Misbehaviour and the Institute may suspend or cancel their enrolment in accordance with the Deferment, Suspension or Cancellation policy.

Opportunity to Appeal

9. The student must be informed they have twenty (20) working days from the expected date of receipt of notification to appeal to the Institute, using the Institute's Complaints and Appeals Form which is available on the website or at reception of both campuses, and the grounds available for any appeal.

10. The student may appeal on the following grounds:
    - The Institute has failed to record or calculate a student's marks satisfactorily.
    - Compassionate or compelling circumstances.
    - The Institute has not implemented its intervention strategy and other policies according to its documented policies and procedures that have been made available to the student.

11. Where the student's appeal is successful, the Institute will not defer, suspend or cancel their enrolment.

12. The Institute will maintain the student's enrolment while the appeals process is ongoing.

3.7   National Recognition of Qualifications

National recognition is granted for all AQF Qualifications and Statements of Attainment issued by other registered training organisations. The credential may be a Statement of Attainment for specific modules or units of competency, or it may be a complete AQF Qualification, such as a Certificate or Diploma.

NATIONAL RECOGNITION – POLICY and PROCEDURE

Scope

In accordance with the Australian Quality Training Framework (AQTF), the Waterford College recognises AQF qualifications and statements of attainment issued by any other RTO.

Purpose

To ensure conformance with AQTF standards that AQF qualifications and statements of attainment issued to any students coming to the Waterford College are recognised.

Responsibility

The Academic Manager or delegates is responsible for ensuring compliance with this policy.

Guidelines

The Australian Qualifications Framework (AQF) is a comprehensive policy framework that defines all qualifications recognised nationally in post compulsory education within Australia. As a Registered Training Organisation (RTO), Waterford College is accredited to provide a range of nationally recognised courses and training programs to students who successfully completes a training program and/or meets the assessment.

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Version 3 Effective Date: November 2014

Partial completion of a training program and/or satisfaction of an individual module assessment criterion will entitle the student to a statement of attainment in relation to the module(s) completed. Within the VET Sector there are many RTOs providing accredited training leading to recognised qualifications.

Waterford College will recognise accredited qualifications and statements of attainment issued from other RTOs.

Action / Method

Where a candidate wishes to make an application for national recognition the following procedure is to be adopted:

A. Applicant completes enrolment form and indicates national recognition will be sought

B. Staff member receiving enrolment provides the applicant with a national recognition form

C. Applicant completes and submits national recognition form with the following supporting evidence:

> i. Verified/certified copies of AQF qualifications and/or statements of attainment awarded

> ii. Proof of identification

D. AQF qualifications and/or statements of attainment provided by applicants must clearly identify the following:

> i. Nationally recognised training

> ii. Name of RTO issuing AQF qualification or statement of attainment

> iii. National provider number of RTO

> iv. Full surname and first name of the recipient

> v. The qualification and/or units of competency attained

E. Applicant must provide proof of identification by means of photo identification which is to be photocopied and verified by the staff member receiving the application and attached to the file

F. National recognition application forwarded to data entry personnel for data entry

G. National recognition application forwarded to Academic Manager or delegates for assessment

H. National recognition application and evidence assessed by Academic Manager or delegates (or authorised representative) and may or may not include:

I. Need of applicant to validate and/or to supply further evidence the Waterford College

> i. Interview with applicant

> ii. National recognition application endorsed by Academic Manager or delegates (or authorised representative) with result and returned to data entry personnel

J. Applicant notified regarding application outcome

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Version 3 Effective Date: November 2014

K. National recognition application and evidence filed as per administration filing requirements

3.8   Workplace Health and Safety Policy

Aim
The aim of this policy and procedure is to define the system used to meet the requirements of:
- SNR 15.1, 15.5, 16.1, 16.2, 16.5, 17.1, 20

Requirements
Waterford College is committed to ensuring the health and safety of its employees, students and others who may be affected by its activities.

Appropriate financial and staffing resources will be allocated to ensure that all WH&S legislative requirements are complied with, and the best available WH&S management systems are provided.

Our commitment is to:
- Fully observe our duty of care to our employees, students and all other people on our premises by ensuring the safety of each of our places of work.
- Fully observe our duty to consult with our employees and encourage all employees and students to participate in identifying, assessing, eliminating and controlling the risks or hazards in the workplace.
- Ensure all of our policies, procedures and documentation comply with WH&S legislation.
- Inform staff, students and clients of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Responsibility

Senior Management responsibility:
The Chief Executive Officer has overall responsibility for the effective management of workplace health and safety. The Institute has a designated Workplace Health and Safety Officer to oversee the health and safety of staff and students.

Trainer's responsibility:
Trainers are responsible, to ensure that:
- The objectives of this policy are integrated into work practices.
- Employees and students are consulted on workplace health and safety matters.

Student Responsibilities:
Students are responsible to ensure that they:
- Carry out their duties in a manner which does not adversely affect their own health and safety or that of others.
- Co-operate with measures introduced in the interests of workplace health and safety.
- Immediately report all matters which may affect workplace health and safety to their trainer or supervisor.

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Version 3 Effective Date: November 2014

Definitions

Workplace Health and Safety (also referred to as **Occupational Health and Safety)** prescribes the employers duty of care to provide a safe and healthy working environment for all employees, and the employee's duty of care to take reasonable care for the health and safety of others in the work place. This includes the provision of:

- A workplace that is safe, with working procedures that are safe to use;
- Adequate staff training, including topics such as safe work procedures, infection control procedures and appropriate hygiene;
- Properly maintained facilities and equipment, including the provision of personal protective equipment such as gloves, eye protection and sharps containers where required; and
- A clean and suitably designed work place with the safe storage of goods, such as chemicals.

Method

Staff and students are informed of WH&S requirements throughout induction.

Emergency Evacuation

The Institute has an emergency evacuation plan and procedure to ensure that staff and students can implement these and assist in minimising the effects of personal danger and injury.

The Emergency Plan is displayed prominently throughout the Institute to enable staff and students to become familiar with the requirements. Once implemented, all staff and students are required to comply with all requirements.

Campus Procedure

- Employees and students will evacuate using the centre management procedure.

Step 1: Assessing an emergency

- A warden system is in place. Hard hats are used to identify who is managing the evacuation.
- Employees and students will evacuate following the relevant procedure.
- All staff shall conduct an initial assessment of all emergencies to determine the level of threat.
- If the situation is beyond the Institute's resources, all staff are required to implement an immediate evacuation and notify the required emergency services by initiating a telephone call to 000.
- Staff shall report to the responding emergency service and convey relevant details of the emergency, and provide support, as required.

Step 2: Raising the alarm (call 000)

- When raising the alarm by use of air horn and telephoning 000, staff shall attempt to remain calm and convey all relevant information in a logical manner.
- This information shall contain our exact address, (street, number and suburb), the nature of the emergency, (requiring ambulance, police or fire), the number of any people involved, if any people are missing, and any other relevant information.

Step 3: Emergency / Evacuation Plan

- The existing evacuation/emergency plan shall be immediately adopted for any emergency. If for any reason, it is not appropriate, an alternative method of maintaining safety should be considered and implemented.

Step 4: Evacuation assembly area

- Assembly areas have been carefully identified to enable staff and students to report to an area where they can do a roll-call and determine any person who has not vacated the building yet.

Step 5: Assisting people to evacuate

- If safe, staff shall attempt to assist occupants to a safe environment, without compromising their own safety and wellbeing.

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Version 3 Effective Date: November 2014

Step 6: Accounting for people

- Names of people who have not been accounted for shall be passed on to the police or fire personnel, and staff shall also report of their last known whereabouts.

Emergency Evacuation Procedure Flowchart
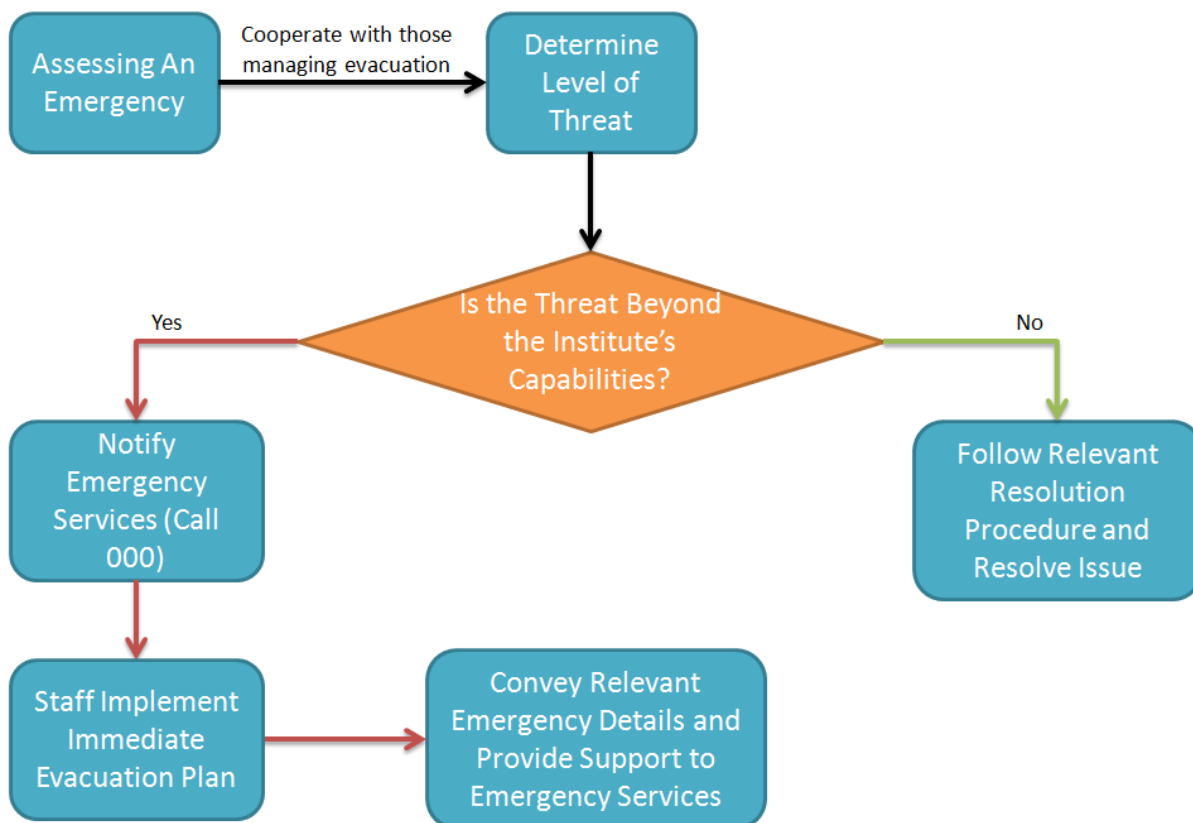
Fire

The Institute displays and implements the following Fire procedure, when safe to do so:

Fire Extinguishers:

- Select the correct extinguisher.
- Remove from bracket.
- Carry to scene of fire.
- Whilst clear of fire remove pin and test the extinguisher.
- Proceed to fire and initially from a distance of no closer than 2 metres direct agent at base of fire.

Fire Hose Reel:

- Open valve (ensure that hose reel is turned off at nozzle).
- Run out hose towards scene of fire.
- Open nozzle and direct stream at base of fire.

Medical Emergency

The Institute implements the following Medical Emergency procedure:

- Check for any threatening situation and control it if safe to do so.
- Remain with casualty (unless there is no other option) and provide appropriate support.
- Do not move any casualties unless in a life threatening situation.
- Notify the Incident Controller and the First Aider.
- Notify the ambulance if not already done and designate someone to meet them.
- Provide support to First Aider or Ambulance if required.

Medical Emergency Procedure Flowchart
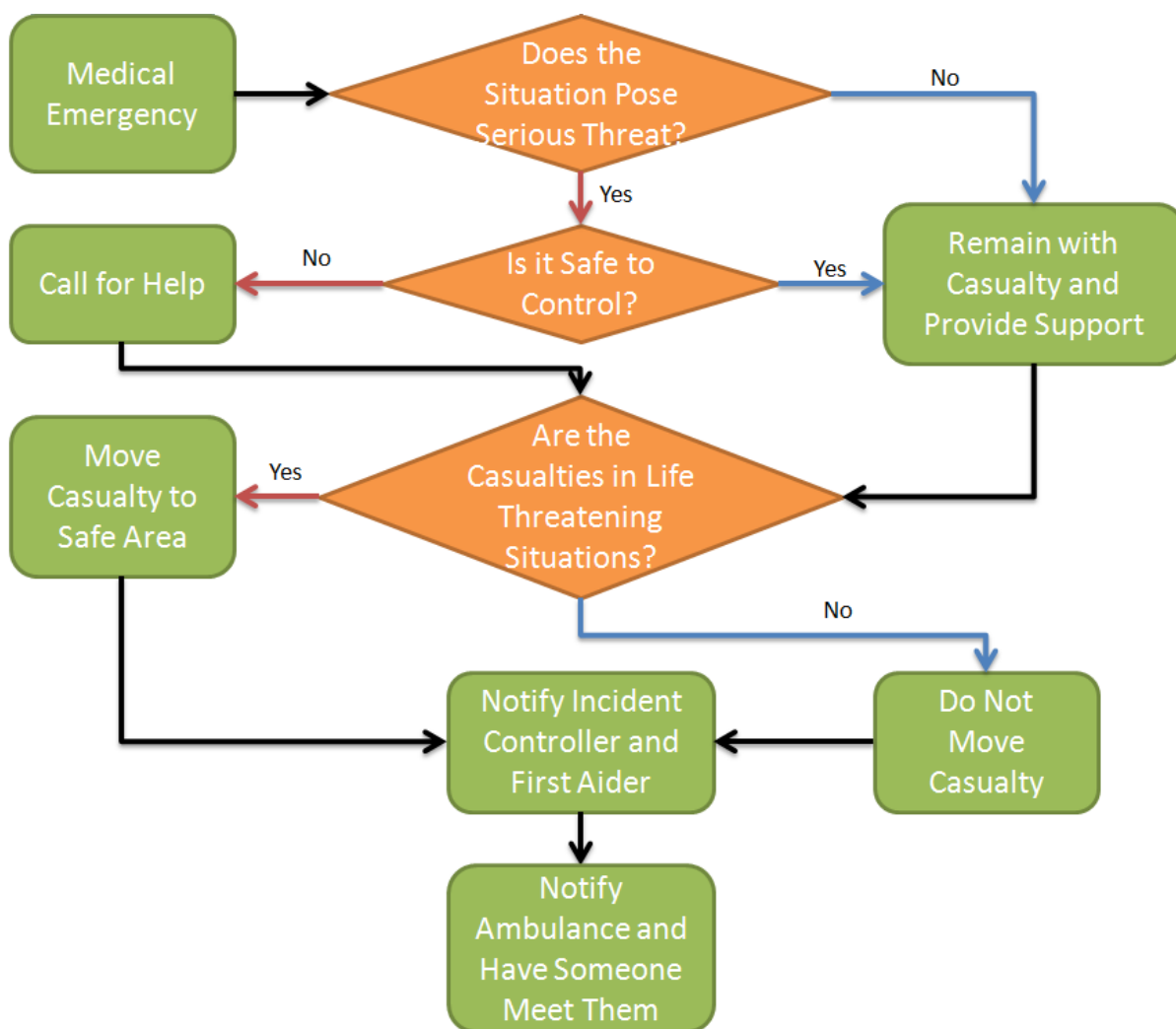
First Aid Procedure

The Institute implements the following First Aid procedure:

- If an emergency incident occurs, the trainer or supervisor shall offer the appropriate assistance to those in need, and if required, emergency services shall be notified by telephoning 000.
- First aid kits are housed in various locations and are identified by signage.
- The kit includes a range of items to enable basic first aid to be carried out, (no aspirin or headache pills, medication or drugs shall be administered to course participants).

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Version 3 Effective Date: November 2014

When an employee is injured:
- The injured employee reports immediately to their supervisor.
- First aid treatments are administered or, if necessary, seek appropriate medical treatment.
- As far as possible, preserve the site of the incident.
- The injured employee must record the injury in the Register of Injuries or Critical Incident Report.

When a student is injured:
- The injured student reports immediately to their trainer.
- First aid treatments are administered or, if necessary, seek appropriate medical treatment.
- As far as possible, preserve the site of the incident.
- The injured student must record the injury in the Register of Injuries or Critical Incident Report.

If an incident does occur, the office must be notified as soon as possible, following the incident reporting procedure.

Bomb Threat

The Institute displays and implements the following Bomb Threat procedure:
- As much as possible, remain calm.
- Record every detail of the threat.
- Keep the caller talking – try to obtain as much information as possible, using the Bomb Threat Checklist.
- Inform the Chief Warden, Management and the Police on 000.
- Record details of caller's voice and background noise.
- Await instructions from authorised persons.

Armed Hold-Up

The Institute displays and implements the following Armed Hold-Up procedure:

During the hold-up:
- As much as possible, remain calm.
- Do what the offender tells you.
- Try to be observant.
- Only if safe to do so, raise the alarm.
- Take note of the offender's mannerisms, clothing and speech.
- Try not to involve other staff in the hold-up.

Civil Disturbance

The Institute implements the following Civil Disturbance procedure:
- Notify the police and request assistance.
- Alert other people in the area.
- Restrict access to and from the building.
- Confine presence to the ground floor.
- Restrict contact with unruly person and others.
- Notify nominated manager.

Incident & Hazard Reporting

The Institute implements the following Incident and Hazard Reporting procedure:
- All hazards must be reported as soon as practicable to ensure we maintain a safe workplace.
- Incident reporting includes near misses and property damage. This ensures we maintain a safe environment for employees and students.
- Once an incident, hazard or near miss is identified, only if safe to do so, the area must be made safe to prevent further incident or damage.

If an injury has occurred, follow first aid procedure outlined above, and ensure the injured party or Manager/Supervisor completes the Critical Incident Report.

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Version 3 Effective Date: November 2014

If the report is for an incident or near miss, an Incident Report must be completed and handed to your trainer or administration.

Manual Handling

Mechanical lifting devices will be made available for tasks that arise on a continuous basis, or tasks that require employees or student to exceed their lifting abilities and/or current regulations. When manual handling or lifting cannot be avoided, employees and students shall observe the following points:

- Size of the load. If heavy or awkward, obtain help.
- Check load for safe handling - Hot / Rough / Sharp.
- Ensure that all stacks of equipment or materials are stable and tidy.
- Inspect the path you will be moving the load through for obstacles and tripping hazards.
- Plan the lift.
- Determine the best lifting.
- Position over the lift remembering to keep back straight.
- Get a secure grip.
- Lift the load close to the body.

Chemicals

The Institute implements the following procedure for the safe handling of chemicals:

- Chemicals used must have undergone the risk assessment process and documented by the Safety Risk Assessment Log.
- A register shall be kept of all dangerous goods and hazardous substances stored on site.
- Copies of Material Safety Data Sheets will be readily available.
- Personal protective equipment, which has identified within the PPE requirements, must be worn at all times, and chemicals must only be used for the intended purpose.
- If a spill is to occur, steps must be taken to control any contaminants. This will be achieved by the use of the spill kit located in the workshop. All recommended PPE must be worn when controlling spills.
- Course trainers shall be compliant with the safety requirements, and ensure that all participants follow the required safety procedures.

Equipment Isolation

This isolation procedure must ensure that persons are safeguarded whilst working on or near the vicinity of that equipment at all times.

- When plant or equipment is to be maintained, cleaned or serviced, it should be isolated from its power source and the emergency stop button should be pressed. The equipment will be tagged with an 'Out of Service – Do Not Use' tag.
- Where an employee or student identifies an item of equipment that appears unsafe, the employee or student shall turn off the equipment, and/or immediately notify the relevant trainer. The equipment must then be tagged with an 'Out of Service – Do Not Use' tag until repaired or replaced.
- Once repaired, ONLY the issuing person is authorised to remove the tag and return the item into service.

Pre-Purchase

Prior to new equipment purchased, consideration will be given to ensure that the health and safety of employees, students and others who may be affected by the operation of the new equipment. Employees shall be consulted to seek their opinion(s) as to their preference of equipment or other resources.

Workplace Health & Safety Committee

Role of the Workplace Health & Safety Committee:

- The committee shall meet at least every 3 months or sooner, if requested by at least half of the committee, or on request of a health and safety representative, or on request of the Institute.
- The committee shall appoint a member to chair the meetings of the committee; they may hold office for up to 12 months.
- The committee shall appoint a member to take minutes of the meetings. The committee must retain these minutes for a minimum of 3 years. They may or may not be a member of the committee.
- Subject to the regulations, the proceeding of the health and safety committee shall be conducted in such a manner as the committee may determine.

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Version 3 Effective Date: November 2014

- The committee develops and documents terms of reference to ensure effective operations.

Return to Work

In the event that a work related injury occurs, the Institute will:
- Take all practical steps to identify, assess and control any known or potential risks to staff, students and visitors.
- Encourage the early reporting of any symptoms of an injury or disease related to the work we undertake. Investigate all incidents, accidents, injuries or near misses to identify their cause(s) and prevent them from happening again.
- Comply with our legal obligations, including notification of incidents to the relevant authority if required.

The Institute implements the following Return to Work procedure:
- The Institute will assist injured employees to remain at work or return to work at the earliest opportunity.
- Return to work planning will commence as soon as possible after an injury, consistent with medical advice.
- Remaining at or early return to work following injury is a normal expectation of employees of the Institute.
- Treatment, return to work activities and any reasonably necessary occupational rehabilitation services will begin as soon as they are necessary.
- Suitable employment, including modified or alternate duties, consistent with medical opinion, will be made available to all injured employees at the earliest opportunity.
- An individual return to work plan will be established with any employee who is unable to work for 20 calendar days or more. This plan will be developed at the earliest opportunity, in consultation with the injured employee and their treating practitioner.
- Consultation and communication with all employees and/or representative in the development, and review of the individual return to work plans will occur.
- Confidentiality of employee information obtained during their return to work or while undertaking occupational rehabilitation services will be maintained.
- Participation in a return to work plan will not, of itself, prejudice any injured employee.

An employee may choose any occupational rehabilitation provider from the WorkCover's list of   approved occupational rehabilitation providers for that service.

Injured employees and their treating practitioners will be involved in all aspects of their return to work,   and return to work plans will be developed and reviewed in consultation with them.

Return to Work Coordinator

A Return to Work Coordinator will be appointed by the Institute. The Return to Work Coordinator will be required to complete appropriate training before commencing this role. Following a work place injury, the Return to Work Coordinator will:
- Contact the injured employee and their treating practitioner (if required) to ensure that the return to work policy has been implemented.
- Determine the need for any occupational rehabilitation assistance in consultation with the injured employee and their treating practitioner, and when appropriate refer to the nominated approved occupational rehabilitation provider.
- Establish a return to work plan and offer of suitable employment (if required) in consultation with the Chief Executive Officer, injured employee and their treating practitioner.
- Review the return to work plan with employees and their treating practitioner at agreed times.

Working Alone

In some circumstances it may be necessary for an employee to work on their own. When a worker is required to work on their own, the Institute will first:
- Inform the employee of the current security system which is in place.
- Conduct a site hazard assessment to identify existing or potential hazards arising from the conditions and circumstances of the work to be carried out.
- The Institute will take all reasonable steps to eliminate or control any hazard, which cannot be eliminated.

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Version 3 Effective Date: November 2014

- Establish an effective means of communication between the worker and a person capable of responding to the worker's needs.
- Ensure that all windows and door-locks are in good working order.
- Adequate lighting on entry and exits.

Weekend or Night Classes

In some circumstances it may be necessary for students to attend weekend or night classes. In addition to the same procedures for Working Alone, the Institute will ensure:

- Workshops/classrooms will be supervised by a trainer at all times.
- Students will be advised to arrive and depart in pairs or small groups.
- Students will be accompanied by the Institute's personnel from and to their transport if arriving or leaving on their own at night or on weekends, and/or if regular scheduled public transport is more than 500 metres from the campus.
- Information about security/safety measures is available in the Student Handbook, Orientation Package and through ongoing advice about these security measures by trainers, if the situation arises.

3.9   Records and Archives Management Policy

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:

- SNR 15.1, 16.2, 16.3, 16.5, 16.6, 17.1, 17.4, 19(c), 19(d), 19(e), 22.2, 22.3, 23.1, 23.3, 23.4, 25

Scope

This policy is to ensure that all documentation is maintained according to AQTF Standards, requirements and State Training Authority guidelines, and that they are appropriate, current, and that they have been completed and checked by authorised personnel.

This procedure covers:
- Quality System documentation
- Non-conformance/corrective reports filed
- Quality audit schedules and reports
- Statutory Authority certificates and approvals
- Student enrolment records and related forms
- Results of assessments
- Copies of issued qualifications
- Approved Recognition of Prior Learning
- Course Review records
- Learning & Assessment Validation Strategies Reports
- Resources developed by the RTO for delivery and assessment
- All training documents - including student enrolment records, RPL Applications, assessment documents, records of results, issued qualifications and Statements of Attainment, and developed resources for delivery and assessment purposes
- Creation of Records
- Control of Records
- Disposal and Destruction of Records

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Requirements

Specific requirements are to be found in the Standards for NVR Registered Training Organisations (SNR) and advice distributed by the Registering Body from time to time.

Manage recordkeeping requirements for the registering body.

Student records of attainment of units of competency and qualifications must be retained and archived for thirty (30) years in a form that is suitable for retrieval, and transferrable to third parties and in accordance with the requirements of the registering authority.

Confidential information obtained by the Institute, committees, individuals or organisations acting on behalf of the Institute must be safeguarded.

Maintain up to date records of enrolments and participation.

Maintain up to date records of fees paid and refunds given.

Students and staff members are entitled to access their personal records.

Evidence of verification of the qualifications and experience of assessors and trainers must be maintained.

Provide client records of attainment of units of competency and VET qualifications to the National VET Regulator, on the basis determined by the National VET Regulator.

The Institute must collect and report on data required by the registering body and its agents in the correct format.

Maintain registers of documents that relate to the Scope of Registration.

The Institute must maintain a student management system with the capacity to record and report AVETMISS data, on request.

Electronically record student data in the Institute's VETtrak database software.

Student and staff files (hard copy) are reviewed annually.

The electronic records management and reporting systems are monitored and reviewed annually.

Responsibilities

The Student Services and Records Manager, Student Services and Records Officer, Training Manager, Admission Officer, Finance Manager and Certification Registrar are responsible for implementation of this policy, and to ensure that staff is aware of its requirements, procedures and application.

The Chief Executive Officer is responsible for:

➢ Disseminating relevant procedures, documentation and information to staff members to enable them to perform their designated duties via induction and regular staff meetings.

➢ Maintaining copies of correspondence on file relating to legal, statutory and/or regulatory requirements.

➢ Reviewing the Quality System via regular audit as per the Audit Schedule to ensure version control processes are in place on all required documentation.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

- ➢ Assigning, all quality system documents and delivery/assessment resources developed by the RTO, a unique name and/or an identification number, together with a version number and issue date.

- ➢ Ensuring a master list of all quality documents is maintained, checking all documents for authorisation and identification information, and recording details on the Resources Register before release.

- ➢ The control, transmittal and distribution of all new quality documentation.

- ➢ The development and implementation of all required policies and procedures.

- ➢ Issuing each update and recalling obsolete or invalid documents.

- ➢ The maintenance and safe keeping of all quality records identified in this procedure, computerised and/or manual, via the use of a lockable filing system and password protected computer files.

- ➢ Keeping records of assessment, results and qualifications issued in safe storage for a minimum of 30 years, both electronically and/or manually, or as advised by the relevant State Training Authority, and arranging transfer of these records, consistent with regulatory requirements, in the event of closure of the RTO as a registered training organisation.

- ➢ Keeping records, for a minimum of 1 year, following cessation of studies by a student, as per the requirements of the ASQA:
  - o A student's current residential address
  - o The total amount of course monies paid
  - o Waterford College must retain master copies of the student assessments and training resources.
  - o Waterford College must retain sufficient samples of student's assessment in order to control the quality education. Waterford College must keep three types of sample assessments

- ➢ **1 – Competent** – (C) Waterford College must keep five sets of full work of student assessment of Competent.

- ➢ **2 – Not Yet Competent** – (NYC) Waterford College must keep record of five sets of full work of student assessments of Not Yet Competent. In some cases may be keep only two of full work of student assessments.

- ➢ Waterford College must keep a copy of the overall results by a student for each unit.

- ➢ Copies of any written agreements between the RTO and the student such as, any amounts that have become payable to the provider by the student for any course that has not been paid.

- ➢ Maintaining up to date records of employment history and qualifications for all RTO Staff.

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The Academic Manager is responsible for:

➢ Establishing a centralised filing system for all manual and computer records relating to the course and the quality system that will allow for security, ease of storage and retrieval.

➢ Archiving accumulated records after a period of two years from course completion, which are to be kept in a clean, dry and secure location to prevent deterioration or loss, and will be available for retrieval upon request.

➢ Issuing all documents and material given to clients or students.

➢ Maintaining and archiving all financial records for a minimum of seven years or longer, as decided by the Accountant, or State Training Authority.

➢ Complying with all external reporting responsibilities, including the Australian Vocational Education and Training Management Information Statistical Standards (AVETMISS).

Trainers and Assessors are responsible for:

➢ Collection and distribution of course materials to all students in a timely manner.

Creation of Records

➢ In accordance with this policy, all staff are required to create full and accurate records which adequately document the business activities in which they take part.

➢ Records should be full and accurate to the extent that they:

- facilitate action by employees, at any level, and by their delegates;

- make possible, proper scrutiny of the conduct by anyone authorised to undertake such scrutiny;

- protect the financial, legal and other rights of the organisation, its clients and any other people affected by its actions and decisions.

Control of Records

Version Control

➢ Earlier versions (i.e. drafts) of a document should be deleted once the previous versions are no longer needed to create future records. However, drafts that must not be disposed of are those that document significant decisions, reasons and actions, and contain significant information that is not contained in the final form of the record. This applies to both paper and electronic drafts.

Security

➢ Records must be made accessible to authorised users. Officers of the Institute enacting the normal course of their duties must have access to relevant records of the Institute.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

➢ Personal information about staff and students of the Institute must be secured within all levels of the Institute records.

Storage

➢ Records should be stored in conditions that are clean and secure, with low risk of damage from fire, water, dampness, mould, insects and rodents. They should also be kept away from direct sunlight and other sources of light and heat. The storage area should be well ventilated and ideally maintained at a stable temperature and humidity. Records in non-paper formats such as photographs, maps or computer disks require specialised storage conditions and handling process that take account of their specific physical and chemical properties. Irrespective of format, records of continuing value require higher quality storage and handling to preserve them for as long as that value exists.

Disposal and Destruction of Records

➢ Staff may only destroy or dispose of records in accordance with the Institute Records Management.

➢ The Records and Archives Management Policy provides a listing of routine administration, personnel, accounting, student and property records across the Institute. It complies with state legislation and should be accepted as the minimum retention period for records.

➢ Where records are scheduled for destruction, this should be undertaken by methods appropriate to the confidentiality status of the records. All Institute records approved and eligible for destruction must be destroyed under confidential conditions, unless the material is widely published. If staff are uncertain of the status of a record, it should be treated as confidential and destroyed under confidential conditions.

➢ Confidential records should be destroyed as follows:

- Destruction of paper records
  Paper records must be placed in security bins. They must never be placed in unsecured bins or rubbish tips.

- Destruction of magnetic media
  Records stored on magnetic media such as floppy disks must be destroyed by reformatting at least once. Deleting files from magnetic media is not sufficient to ensure the destruction of the records. Backup copies of the records must also be destroyed.

- Destruction of optical media
  Records held on optical media such as rewritable disks must be destroyed by cutting, crushing or other physical means.

Method

Student Files

Application, enrolment and course acceptance data on all students are stored electronically.

Student files (hard copy) contain the following data, in the relevant format:
- Enrolment / application form / student agreement
- Student RPL records, if applicable
- Student credit transfer records, if applicable

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Version 3 Effective Date: November 2014

- Student attendance records
- Learning support needs
- Assessment outcomes
- Copies of any warning letters, counseling notes, refund applications, transfer applications, complaint and appeals records or any other document relevant to the student's time at the Institute
- Copy of Testamurs or Statements of Attainment issued
- Funding requirements, if applicable

Address and Contact Details

All students are advised at induction to ensure the Institute remains informed of their current Australian residential address.

Accounting Records – Fees and Refunds

Hard copy accounting records are stored securely in their own lockable cabinet. Electronic accounting records are stored in the HandiLedger accounting system, accessible only by the Finance Manager and Chief Executive Officer, and is password protected.

Fees

All fees collected are to be paid into the Institute's Bank Account and are accessed according to our Refund Policy.

The Institute has adopted Option 3 of SNR 22 Financial Management in relation to domestic student fees.

A receipt will be issued by the Institute to the student at the time, or immediately after fees are received and cleared by the bank.

In each student's file, record and maintain evidence of course money the student has paid including:
- The qualification paid for
- The total length of the qualification in weeks
- The total weeks of the qualification that the fees apply to
- Receipt numbers for each payment
- Any balances that the student is liable for and has not paid

Refunds

Requests for refunds must be processed in accordance with the Institute's Refund Policy.

Refund applications must be made in writing on the student Refund Application Form provided by the Institute. The Refund Application Form is available at the premises of the Institute.

All refunds must be in accordance with SNR requirements and the Refund Agreement included in the Refund Application Form signed by the student and maintained in their individual student file.

Refunds must be made within ten (10) working days of written notification for a provider default and within twenty (20) working days of written notification for a student default.

A written explanation as to how the refund was calculated using the student Refund Application Form must accompany student refunds.

The Chief Executive Officer must approve all student refunds.

Details of refunds provided must be maintained in individual student files and in the Institute's HandiLedger accounting system.

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Attendance

The Institute has a policy that, unless there are exceptional circumstances, students will not be admitted to a class, in which an assessment is scheduled to take place, if the student arrives more than one (1) hour after the commencement of the class. The Training Manager will determine if there are exceptional circumstances. In the absence of the Training Manager, the decision will be made by the Trainer.

If a student presents a medical certificate for being absent, a copy of the medical certificate will be put into the student's file and the student will not be marked as absent for the period covered by the medical certificate, provided they agree to make up the missed component of their course, either through attending another scheduled class or undertaking additional tuition provided by the Institute and/or successfully completing an assessment task/s. If a student does not take up either of these options, they will subsequently be marked as absent.

Trainers will use the Attendance Record to record student attendance at each scheduled class. Students are advised of attendance requirements in the Code of Conduct for Students and also at induction.

Completion Process – Assessments

All relevant assessment documentation has to be filled out correctly by the trainer/assessor.

Where there are instances, due to distance or other mode of delivery constraints, or other impeding factors, signatures of assessors may be entered by "stamp". This must firstly be approved by the Training Manager. It is the Training Manager's responsibility to verify all such assessment documentation prior to an award being issued**.**

Assessors must complete an Assessment Summary Sheet for each student who has completed a unit of competency. It must record whether the student is Competent or Not Yet Competent in the Unit and is attached to the student's checklists/marking guides. Assessors must transfer this information onto the Student Result Sheet (Electronic Excel Sheet – Shared with Trainer, with Students and Groups Name). The Electronic Excel Sheet is Password Protected and trainers are not able to change it, except when entering results.

The Student Services and Records Manager verify the results with the actual student assessment summary sheet on the student assessment.

This information is entered into the electronic System – The VETtrak

When it is verified that a student has completed all competencies required for the issuing of an Award, a Testamur and Record of Results or Statement of Attainment will be issued.

The Certification Registrar and Finance Manager are notified by email or over the phone of student completions.

After clearance from the Finance Manager confirming there are no outstanding fees the certification will be prepared and issued to the student by the Certification Registrar within twenty-one (21) days.

The date of issue, title of the Testamur or Statement of Attainment, and sequence number of the document is recorded by the Certification Registrar, who notifies the Training Manager to update the electronic Student Management System.

The student records file is backed and stored off-site or in a fireproof container.

Completion processes for Recognition of Prior Learning (RPL) and Credit Transfer (CT) are contained in their respective policies and procedures.

Retention of Academic Records

Student records of attainment of units of competency and qualifications must be retained and archived for thirty (30) years in a form that is suitable for retrieval and transfer to third parties and in accordance with the requirements of the registering authority. Sufficient information on student results is held to enable the reissue of certified copies of their original AQF qualifications, statements of attainment and transcripts of results to former students.

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Version 3 Effective Date: November 2014

All completed student assessment items (including RPL) for each student for each method of assessment is to be held for a minimum period of 6 months from the date it is assessed.

For the purpose of assessment validation, each time a cohort completes a unit, the institute must retain copies of the following for 12 months:
- Assessors completed assessment summary sheet
- Marking guide
- Benchmark criteria
- Observation checklist

In the event of any revisions made, a master copy of the current version of assessment tools, including the assessment summary sheet, marking guide, benchmark criteria and observation checklist must be retained electronically until it is replaced. After replacement, the old version will be retained for at least 6 months.

Apprentice/trainee records, if applicable, are to be maintained and held for seven (7) years from the end of the Term or, as otherwise required, in accordance with the contract entered into with the funding body.

Student files including acceptance agreements, fees, charges and refunds are retained for two (2) years after cessation of students' study.

Staff files are retained for one (1) year after cessation of their employment.

Training and Assessment Staff

Copies of up-to-date resumes of training and assessing staff must be maintained on file.

The assessors and trainers CVs must include verified copies of qualifications, licenses and information about relevant experience.

Evidence of verification of qualifications and experience must be maintained on file.

Qualifications are verified internally by the Training Manager and/or externally by a Justice of the Peace or another authorised signatory.

Induction checklist and other employment related documents are maintained on file.

Trainer/assessor files and details must be reviewed annually.

Confidentiality, Security and Access to Records

Student information may be collected for NVR purposes and is protected under the Privacy Act 1988.

Except as required by registering bodies and their agents or by law, information about students and staff is not disclosed to third parties without the written consent of the student or staff member.

Students have timely access to current and accurate records related to their participation and progress.

Student records are displayed online through student information system. Where the student needs formal documentation they can complete an online request or fill out the Student Request Form available at campus administration offices. Students may request to view:
- Their enrolment information
- Their attendance records
- Their student file

Students are advised prior to or at induction how to access their records.

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Version 3 Effective Date: November 2014

Staff have access to their records (verbal or written), on request to the Training Manager or Finance, including their staff file, employment details, income details and staff appraisal information.

The Institute will make these records available within two (2) days of the request being received.

Unless approved by the Training Manager, all records must be viewed on the premises, in the presence of an authorised staff member at a mutually agreed time. Copies of documentation may only be made with the approval of the Training Manager. A fee will apply for copies of awards as outlined in the Refund Policy.

Hard copy correspondence received or initiated by staff that has administrative or compliance value must be retained and filed securely.

Emails received or initiated by staff that have administrative or compliance value must be retained and filed in appropriate electronic folders.

Current hard copy records are stored in lockable filing cabinets, on site. Archived hard copy records are stored in a secure location. Online records can only be accessed by authorised personnel who have password clearance.

Back-Ups are scheduled weekly and stored off-site or in a fireproof container.

Official Records
The Institute's official records are stored in a secure location and folder (hard copy and/or electronic), to include:
- Certificate of Registration
- Fit and Proper persons declaration
- Amendments to Scope application
- Change of Details form
- Re-registration application
- Correspondence to/from registering body (hard copy and electronic)
- Other correspondence relevant to registration
- Other data provision requirements on request

Scope of Registration
The Training Manager will check the website www.training.gov.au to identify new Training Packages related to the Institute's current scope of registration in addition to acting on advice from Industry Skills Councils (ISCs) and the Registering Body on superseded Training Packages and/or qualifications.

Where revised Training Packages related to the current scope of registration are identified, the Institute will implement the revised qualifications within twelve (12) months of publication on the website, in accordance with SNR requirements.

The TAS, learning material and assessment tools will be reviewed and updated/developed for any revised or new qualifications proposed.

The Institute will make the application to have the revised or new qualifications added to the Institute's scope of registration.

The Institute will make the application to have inactive qualifications and/or units of competency deleted from the Institute's scope of registration.

Notification to regulatory body
The following matters must be reported to the registering body:
- Any extension to scope of registration.
- Client records of attainment of units of competency and VET qualifications to the National VET Regulator on the regularly basis determined by the National VET Regulator.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

- Provide details, upon the request of the regulatory authority, of all operations within its scope of registration including operations in other States or Territories and outside Australia.
- Advise the regulatory authority that the Institute has commenced operations in any other State or Territory within 21 days of commencing the interstate operations.
- Provide the regulatory authority with accurate and timely information regarding registration and compliance (including major changes to the Institute system or staffing profile, relocation of the Institute, financial difficulties and transfer of client records).
- Provide details of any prospective changes to the ownership of the Institute and any prospective or actual changes to the high managerial agents. A *High Managerial Agent* is defined as "being an employee, agent or officer of the provider with duties of such responsibility that his or her conduct may fairly be assumed to represent the provider in relation to the business of providing courses".
- Changes in student capacity
- Changes in location and contact details
- Changes in course fees, duration and hours
- Confirmation of our financial viability and/or business plan on request.
- Quality Indicator Data
- Competency Completion Data
- AVETMISS data, if applicable

Notifications to the regulatory and registering bodies will be reported in the correct format:
- Download the appropriate form from the registering body website, if applicable
- Completed form signed by person with legal responsibility for the Institute
- Return the form to the registering body
- Copy and file the form (if electronic, print hard copy) with other official records
- Check the website www.training.gov.au to ensure the changes have been made, if relevant
- File official receipts from the registering body and its agents

The Institute's student management system has the capacity to collect and report data in the appropriate format required by the registering body or its agents:
- Quality Indicator Satisfaction Surveys in hard copy
- Survey Management, Analysis and Reporting Tool (SMART)
- Competency Completion Online System (NCVER)
- VETtrak Electronic Student Management System

The following data must be collected and reported to the relevant regulatory body:
- AVETMISS data, if applicable
- Quality Indicator data by the 30th of June each year

Competency completion data must be collected and reported to the National Centre for Vocational Education and Research (NCVER) by the 30th of June each year.

Testamurs and Statements of Attainment

The Institute is responsible for the authentication and verification of a student's certification documentation.

The Institute includes its logo and watermark on certifications as a mechanism to reduce fraudulent reproductions and use of the AQF qualification.

All students who have completed a programme of learning that leads to the award of an AQF qualification are entitled to receive the following certification documentation on award of the qualification:
- A testamur, *and*
- A record of results

Testamur:
All vocational education and training qualifications will include the following elements:
- name, code and logo of the issuing body

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

- name of person receiving the qualification
- nomenclature as in the Framework, e.g. Certificate or Diploma
- date issued
- authorised signatory
- the AQF logo or the words, This qualification is recognised within the Australian Qualifications Framework
- the Nationally Recognised Training (NRT) logo
- the State/Territory Training Authority logo in accordance with the Registering Body's conditions for use.
- the issuing organisation's seal/ watermark or corporate identifier.

Record of Results:

A record of results will be issued together with the qualification and will contain the following elements as applicable:
- industry descriptor, e.g. Engineering
- occupational or functional stream, in brackets, e.g. (Fabrication)
- where relevant, the words, 'achieved through Australian Apprenticeship arrangements'.
- where the qualification is from a Training Package, include the words, 'A summary of the employability skills developed through this qualification can be downloaded from http://employabilityskills.training.com.au'.
- authority (where required)

Statement of Attainment:

Statements of Attainment are issued to students who have completed *accredited units or skills sets* within AQF qualifications*, which does not meet the requirements of a full AQF qualification.* Statements of Attainment include the following features:
- name and code of the issuing RTO
- name of the person who achieved the competencies or modules
- date issued
- a list of competencies (or modules where no competencies exist) showing their full title and the national code for each unit of competency.
- authorised signatory
- the Nationally Recognised Training (NRT) logo
- the State/Territory Training Authority logo (in accordance with the Registering Body's conditions of use as applicable).
- the words: A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency/ modules from nationally recognised qualification(s)/course(s).
- the words: These competencies form part of [code and title of qualification(s)/course(s) (this is optional, where applicable).
- the issuing organisation's seal, watermark or corporate identifier.

A Statement of Attainment will normally consist of a single page: it may run on to a further page where there is a long list of competencies.

Statements of Attainment issued to recognise achievement of a skill set identified in a particular Training Package contains the name of the skill set and a statement using the wording given in the Training Package to indicate whether the skill set meets a licensing or regulatory requirement or an identified industry need.

Statements of Attainment awarded for a skill set identified by an RTO as meeting enterprise needs may include additional brief information reflecting its identified purpose.

The authorised signatory may be by way of a stamp containing a true copy of the Chief Executive Officer's signature. All such entries will be administered and verified by the Certifications Registrar prior to the award being issued.

Certifications must be issued and sent to students within twenty-one (21) days after completion of their study programme and clearance of fees due and payable.

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Version 3 Effective Date: November 2014

If a replacement certification is requested by a student, a stolen Police Report must be provided by them to the Institute, or alternatively a Statutory Declaration, verifying the details of how their certification was lost or stolen. A replacement fee, outlined in the Refund Policy applies.

A Certification Register is maintained in the electronic Student Management System.

Document Control

A Document Register is maintained of current forms and templates in use by the Institute. The material listed in the Document Register must be readily accessible to any person required to perform any function for the Institute.

A review of the documents register for appropriateness and currency is conducted annually as part of the SNR compliance monitoring review.

Documents updated with significant changes will have their version updated and the previous document archived:
- Relevant personnel are consulted regarding the impact on existing processes
- Approval sought from management prior to making any amendments
- Advise relevant personnel (meeting/email)
- Enter change into the Continuous Improvement Register

Version information is contained in the documents' footer. The procedure to maintain version control should include:
- Updating document footer with new version details – Waterford College *(page number) (Version (Month) (Year))*
- Electronically archive master of old copy in 'Archive' file
- Destroy all hard copies and other electronic versions

Staff will be advised of any updates and only the latest version of a document will be available to users.

Procedure – Privacy & Release of Information

➢ Only the RTO Management and RTO Staff involved in student welfare will have access to student personal details.

➢ Upon enrolment each student's personal details shall be filed in the designated student file or filing cabinet (lockable) or retained in the pass worded terminal.

➢ No staff member is to release any personal information pertaining to any past or current learners to anyone without the permission of the Chief Executive Officer.

➢ If a Learner wishes to view their file, a signed request is to be sent directly to our Office.

➢ Once the signed request is received, the manager will validate the signature by comparing it with the signature on the learners enrolment form.

➢ Once satisfied that the request is from the learner, the manager may make available learners information for them to view at our Head Office. Copied material may only be sent to the learners address held on file. If the learner has changed their address, a change of address form must be completed.

➢ If a request for learners information is requested, unless required by law, permission must be received in writing by the learner prior to its release

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

➢ Access to student records may be provided where the Standards for Registered Training Organizations or an officer of the law require our RTO to do so.

➢ All information requests are to be stored on the learners file.

Record Management and Control Flowchart
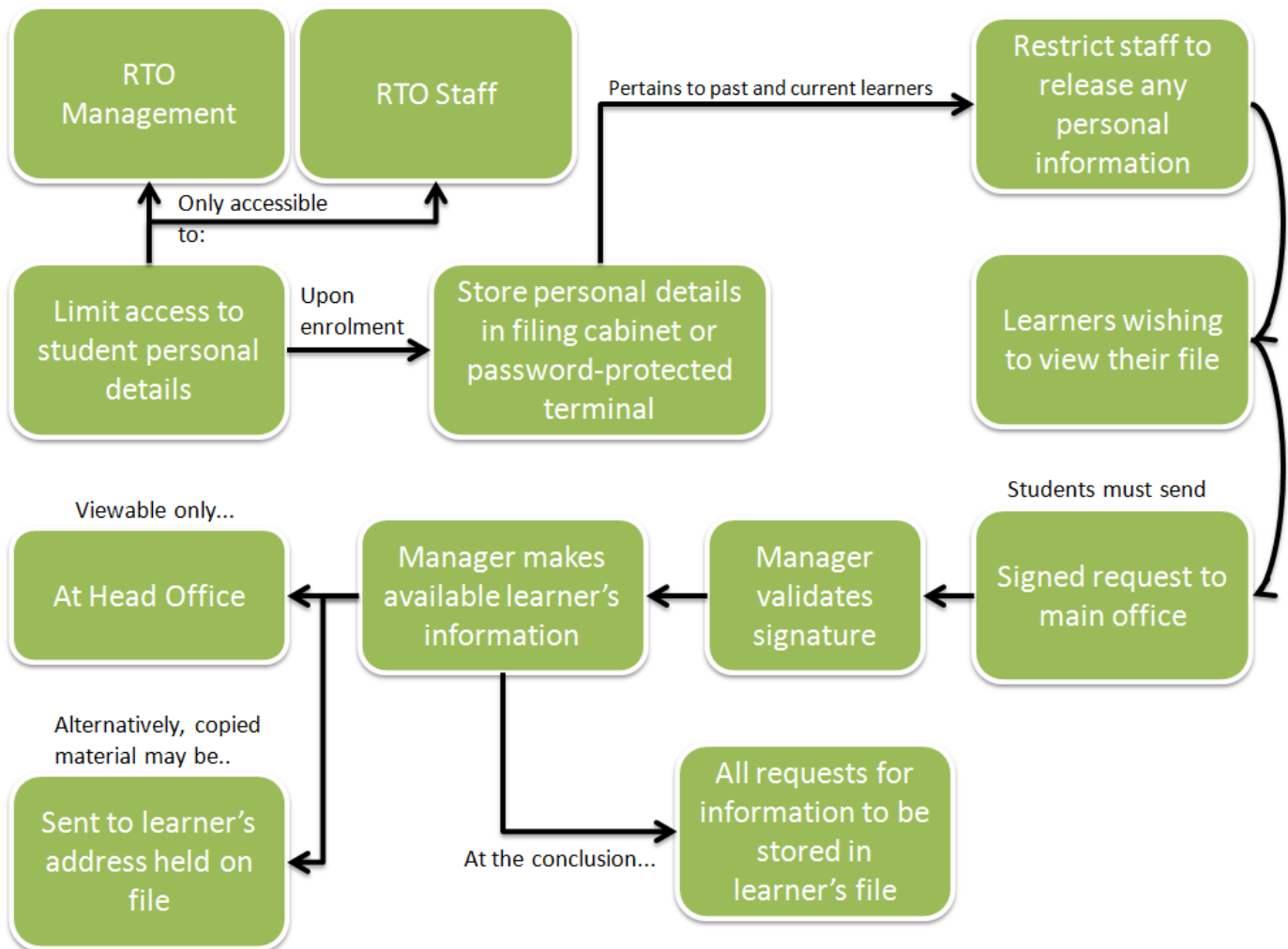
3.10   Financial Management and Refund Policy

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:
- SNR 16.1, 16.3, 16.5, 17.1, 17.4, 22

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Requirements

The Chief Executive Officer is responsible for the provider's financial procedures and accountabilities.

An independent and qualified accountant prepares annual accounts.

If requested by the Regulatory Authority, the Institute will obtain, and make available a full audit report from a qualified independent accountant with membership of the Certified Practicing Accountants Australia or the Institute of Chartered Accountants of Australia.

In accordance with SNR 22 Financial Management, the Institute has adopted Option 3.

The Institute must advise students of:
- Fees, charges payable and refunds of course money.
- Amounts that may, or may not, be refunded to the student.
- The process for claiming a refund.
- Information about what will happen in the unlikely event of the Institute not being able to deliver the course.
- Student rights.

Responsibility

The Chief Executive Officer and the Finance Manager are responsible for the implementation of this policy, and to ensure that staff are aware of its application, requirements and procedures.

Account Records and Financial Viability

Accounting records of debtors, creditors, assets and liabilities, are maintained on a continuous basis as required by ASIC for a private company, and by the Australian Taxation Office.

The Chief Executive Officer must ensure the management of the Registered Training Organisation's finances, allows for cash flow and continuation of business.
At the end of each financial year, the Chief Executive Officer ensures that the accounts are prepared in a way that indicates the financial performance and financial position of the Institute.

At the end of each financial year, the Chief Executive Officer ensures that tax returns are prepared and lodged by the required date.

Hard copy accounting records are stored securely in their own lockable cabinet. Electronic accounting records are stored in the HandiLedger accounting system, accessible only by the Finance Manager and Chief Executive Officer, and is password protected.

The Institute has an appointed Finance Manager, Accounts Officers, and accounting and legal professionals to maintain current and accurate financial management practices.

If requested by the Regulatory Authority, the Institute has financial controls in place to provide a full audit report from a qualified independent accountant with membership of Certified Practicing Accountants Australia or the Institute of Chartered Accountants of Australia.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Financial Management Procedure Flowchart
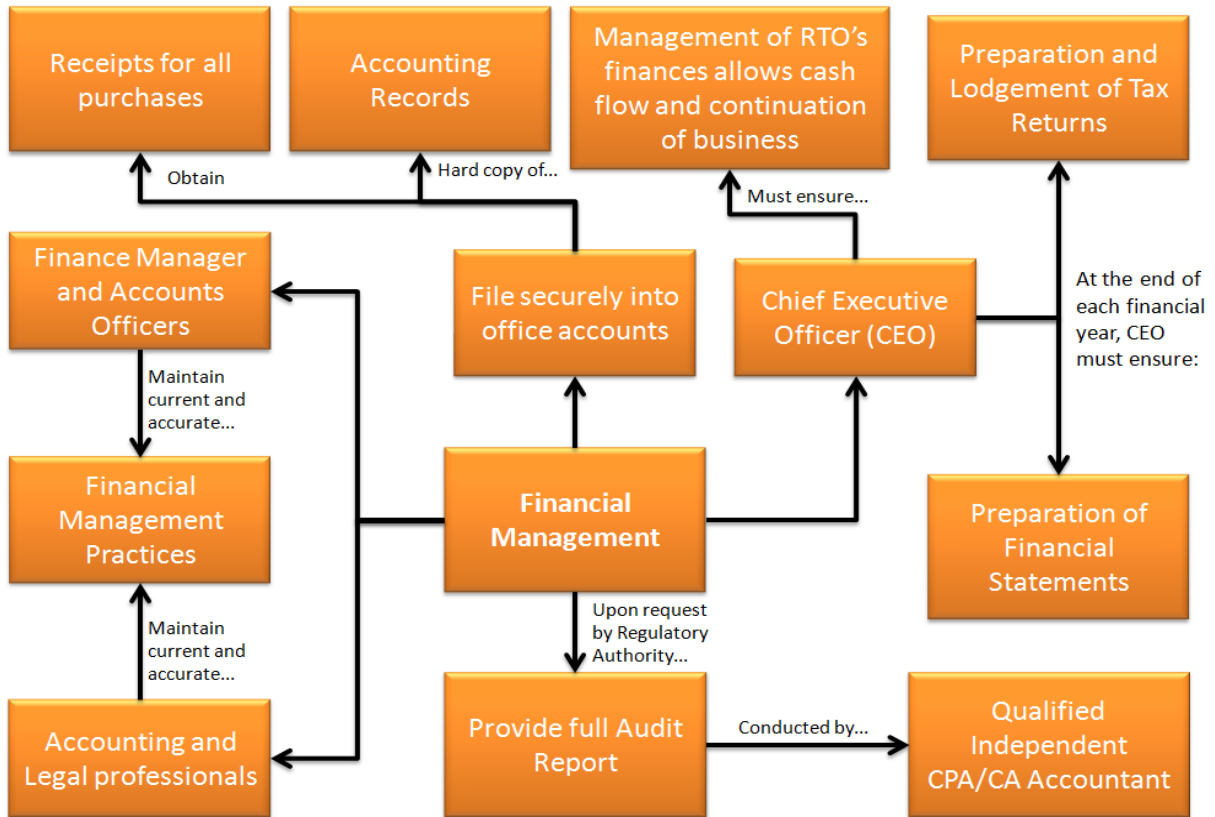
Fees

The Institute's Refund Policy sets out the terms and conditions of fees, charges and refunds.

Receipts will be provided to students when a payment is made.

Fees paid and refunds given are recorded in the accounting system so that the financial status of each student or client is known.

Details of student accounts are maintained in each student's file and in the HandiLedger accounting system.

Where students pay fees by instalment, they are required to sign a Fee Payment Agreement outlining their payment due dates.

Waterford College will not collect payment of no more than $1,000 from each student prior to course commencement. Following course commencement, Waterford College may collect up to $1,500 for fees relating to tuition or other services yet to be delivered to the student.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Fee Payment Procedure Flowchart

Student makes Payment → Fees Paid and Refunds Given → Student Account Details

Student makes Payment —Issue...→ Receipt to Student

Fees Paid and Refunds Given —Recorded in...→ Accounting System

Student Account Details —Maintained in each...→ Student's Files

Student Account Details → Paying Fees by Instalments

Paying Fees by Instalments —Student must...→ Sign a Fee Payment Agreement

Cannot Exceed $1500 per Qualification/Course

Overseas Student Tuition Assurance Scheme

Paying Fees by Instalments → Overseas Student Visa Holder Fees

Overseas Student Visa Holder Fees —Protected by...→ Overseas Student Tuition Assurance Scheme

Overseas Student Visa Holder Fees → Domestic Students → Fees Paid in Advance → Cannot Exceed $1500 per Qualification/Course

Refunds

The following terms and conditions apply to all non-funded, fee paying students.

All fees and charges are quoted in Australian (AUD) dollars. The Institute reserves the right to increase fees and charges. Students will be advised in writing of any changes.

Once a student commences their course, they immediately become liable for the minimum amount of tuition fees equivalent to the first six (6) months of their course (1st semester). In the event that they withdraw or transfer, the terms and conditions of the Institute's Refund Policy apply.

Refund applications must be made in writing to the Institute on the Refund Application Form. A non-refundable administration application fee of $200 will be levied against each refund application.

Refunds will be made within fourteen (14) days of receipt of a written application and will include a statement explaining how the refund was calculated.

This calculation will be noted on the Refund Application Form. The student will sign to confirm acceptance and receipt of refund.

Refunds will be recorded in the Institute's HandiLedger accounting system as a Student Refund in the individual student ledger. A copy of the Refund Application Form will be placed in each student's file.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Fee Protection for Students

- Your tuition fees are protected under the SNR 22 Financial Management, Option 3. Domestic student fees paid in advance will not exceed $1000 prior to a student commencement and $1500 for tuition or other services yet to be delivered to the student per qualification/course after commencement.

Student Default

No refunds will be given:

- If you transfer to another provider under the terms outlined in the Institute's Student Transfer Policy.
- If the Institute cancels your enrolment because of misbehaviour or failing to pay course fees, as outlined in our Deferment, Suspension or Cancellation policy.

Additional Charges not Included in Course Tuition Fees

All Students

- A non-refundable administration application fee of $200 per refund application will be levied.
- Payment Plan - late processing fees of $100 for a first default will be automatically applied, if scheduled payment dates/arrangements are not met.
- Students are generally expected to provide their own pens, pencils and note paper.
- Students will be supplied with learner workbooks and assessment materials, relevant to their course. At the end of their study, a material fee of $300 for Business courses and $850 for Hospitality courses will be applied to students, respectively.
- Students are generally expected to purchase their own copies of recommended textbooks.
- If a course length is extended by a student, the student may be required to pay a fee to cover the additional length of the course.
- If they fail to attend a scheduled reassessment or if they fail to complete assessments in a timely manner, unless the student is scheduled for reassessment during the term break, there will be no change for a re-assessment,
- There is no charge for Credit Transfer applications.
- RPL applications are charged at 50% of the relevant course tuition, and are subject to the same terms and conditions of the Institute's Refund Policy. Unsuccessful RPL applicants will be transferred into the relevant course to undertake gap training in required unit(s) and to make-up the difference in payment of the full course tuition fee.
- Replacement of Certificates or Statement of Results and Statements of Attainment will be charged at $350 per certification.
- An accommodation booking fee will be charged by the Institute, if applicable.

Non-refundable Fees and Charges

Payment plan late processing fee	$35
Student ID	$20
Re-assessment	$100 - per assessment
Accommodation booking fee	Varies
Replacement Certificate	$350 for each certification.

Applicable Refunds for Course Tuition Fees

Refunds of Course Tuition Fee: *(All refunds attract a non-refundable $200 application fee.)*	
Withdrawal notified in writing and received by the Institute 12 weeks or less, prior to course commencement	50% refund less an amount of $1,000
Withdrawal notified in writing and received by the Institute less than 28 days prior to course commencement or after the course commences	No refund

Payment Plans

- Where students pay fees by instalment, they are required to sign a Fee Agreement outlining their payment due dates.
- The conditions set out in this Refund Policy will apply to students entering into a payment plan.
- Failure to pay fees within the specified Fee Agreement arrangements, gives the Institute the right to exclude the student from entering the premises, including classrooms, computer laboratories and workshops, and may result in the student's enrolment being cancelled. Students will not be eligible to graduate if they have any outstanding monies owing to the Institute.
- The Institute reserves the right to charge a processing fee of $100 for a first default in respect to fees not paid in accordance with the Fee Agreement.
- Students withdrawing from a payment plan will be liable for the full amount of fees and charges owing for the first six (6) months of their course.
- Receipts will be provided to students when a payment is made.

Student Rights

This agreement, and the availability of complaints and appeals processes, does not remove the right of the student to take action under Australia's consumer protection laws.

Refund Procedure

Refunds will be refunded within ten (14) days of receipt of a written application and will include a statement explaining how the refund was calculated and a copy of the refund agreement that was signed by the student must accompany student refunds. Refer to the Institute's Refund Policy for full details of the terms and conditions.

Refund application requests must be made in writing on the student Refund Application Form provided by the Institute.

All refunds must be in accordance with the Refund Policy and the Refund Agreement must be signed by the student, and maintained in their individual student file and in the student electronic management system.

The Chief Executive Officer must approve student refunds.

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Version 3 Effective Date: November 2014

Student Refund Procedure Flowchart

Application for Refund Received from Student	Calculate refund using... →	Refund Calculation Form	The Institute will provide...

In Accordance with Refund Policy Requirements	← This has to be...	Refund Agreement will Accompany Student Refund	← Copy of...	Explanation on How Refund was Calculated

Chief Executive Officer Must Approve Student Refund	Signed refund agreement is... →	Stored in Student Files

Appealing Refund Decisions

- Refer to the Student Complaints and Appeals Policy from the Registered Training Organisation's Student Administrations department if you wish to appeal a refund decision.
- This policy and the availability of Complaints and Appeals Policy, does not remove your right to take action under Australia's consumer protection laws.
- The College's dispute resolution processes do not remove the **student's right** to pursue other legal remedies where they feel necessary.

Further Information

The Waterford College reserves the right to withhold any Certificate of Completion (TEM01), Statement of Attainment (TEM02) or Academic Transcript (TEM03) achieved by the student, if student fees remain outstanding.

The Waterford College will refund any monies due to the student, to the student's education **agent** (where applicable).

Any information that you provide to Waterford College or that the Waterford College collects about you can be given to authorised State and Commonwealth Agencies.

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Version 3 Effective Date: November 2014

Distribution of Refund Information Procedure

All refund information is made available to students through the enrolment process and is included on the Student Enrolment Agreement, which the student signs prior to acceptance into a course of study with the RTO and money accepted from a student.

Enrolment Process and Provision of Refund Information Flowchart
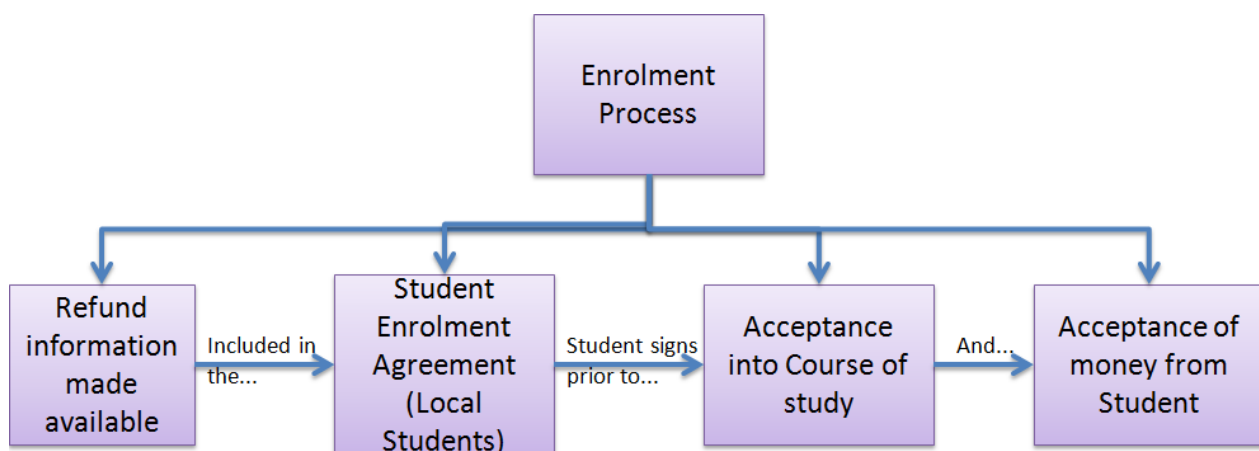
Refunds Due to Non-Delivery

Please note that Government Legislation requires tuition fees and application fees to be refunded in full if:

- The course does not start on the agreed starting date which is notified in the Letter of Offer.
- The course stops being provided after it starts and before it is completed.
- The course is not provided fully to the student because the college has a sanction imposed by a government regulator.

Refunds under the above conditions will be paid in full within 4 weeks.

The College may arrange for another course, or part of a course, to be provided to students at no (extra) cost to the student as an alternative to refunding course money. Where the student agrees to this arrangement, the College will not be liable to refund the money owed for the original enrolment.

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Refunds (Non-Delivery) Flowchart
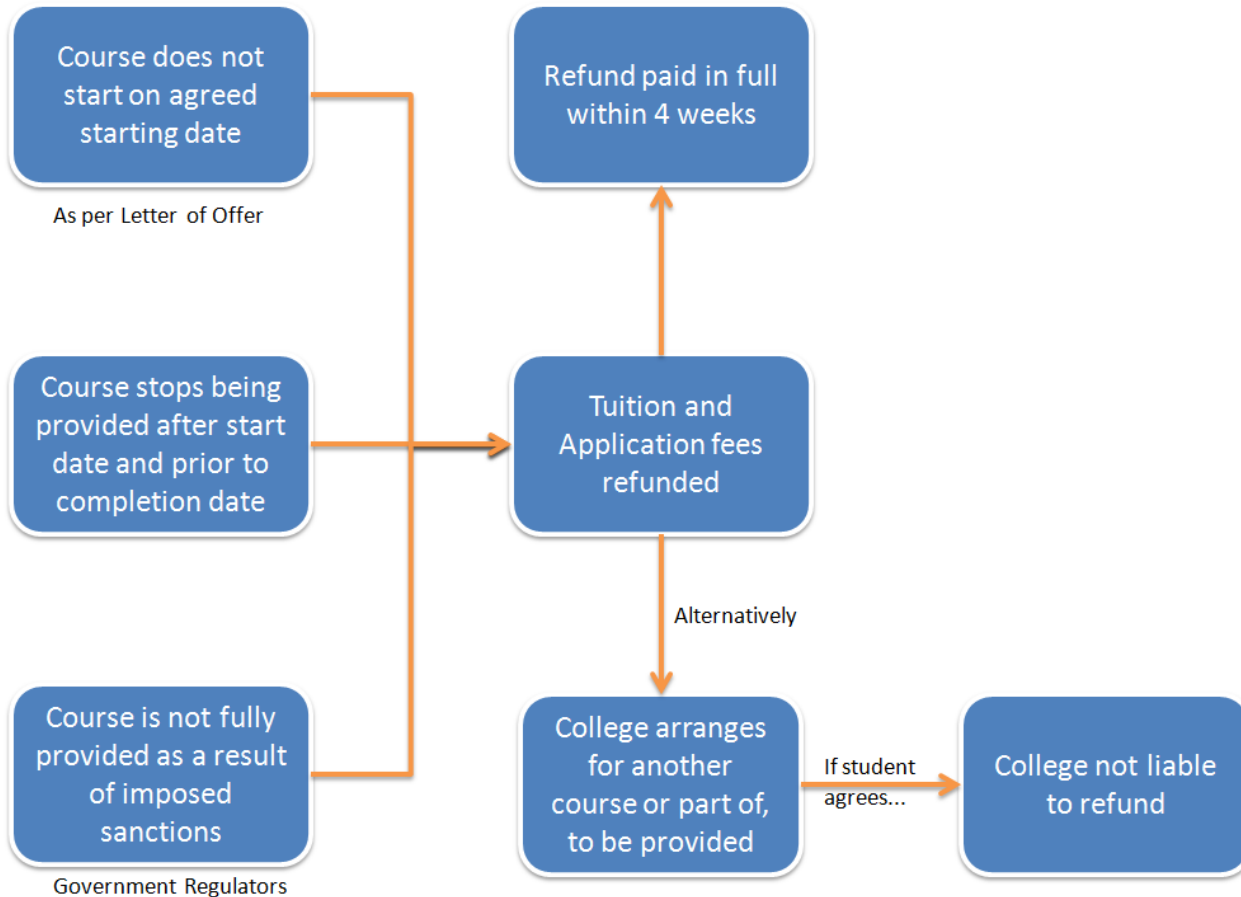
Refunds Based Upon Applications for Refund

All applications for refund must be made in writing by way of the APPLICATION FOR REFUND form and submitted to the Student Administration Department and then forwarded to the ENROLMENT & ACCOUNTS DEPARTMENT for processing.

Please note: where the student withdraws from the course without notification, no refund is payable.

- APPLICATION FOR REFUND is to be processed by the ENROLMENT & ACCOUNTS DEPARTMENT within 7 days from the date of application being lodged. If a student is entitled for a refund, the payment shall be made within 4 weeks of receiving the student's application for refund.

The assessment of any application for refund shall be granted on a pro rata basis and in accordance with the Refund Calculation table below. In the case where a student does not pay the semester fees in full (e.g. $1,000 instead of $4000), the student is still liable for the outstanding amount as per the examples in the table below. This table also includes additional examples as follows:

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Tuition Fees		Semester Fee	Fee Paid	Eligible for Refund	Non-Refundable	Payable/ outstanding
Withdrawal at least 10 weeks prior to orientation date	Full refund*	$ 3,750	$ 3,750	$ 3,750		Nil
Withdrawal at least 4 weeks prior to orientation date	75% refund*	$ 3,750	$ 3,750	$2,812	$938	NA
Withdrawal less than 4 weeks prior to orientation date	60% refund*	$ 3,750	$ 3,750	$2,250	$1,500	NA
Withdrawal at least 4 weeks prior to orientation date	25% outstanding	$ 3,750	$2,812	Nil	$937.50	NA
Withdrawal less than 4 weeks prior to orientation date	40% outstanding	$ 3,750	Nil	Nil	$937.50	$600
Withdrawal on or after the orientation date	100% outstanding	$ 3,750	$937.50	Nil	$937.50	$2812.50
Withdrawal on or after the orientation date	No refund	$ 3,750	$ 3,750	Nil	$ 3,750	Nil
Course withdrawn by College	Full refund including enrolment fee	$ 3,750	$ 3,750	$ 3,750	Nil	NA
The College is unable to provide the course for which the original offer was made	Full refund	$ 3,750	$ 3,750	$ 3,750	Nil	NA
Withdrawal from study - current students	Refund of unused tuition fees (of the	$ 3,750				

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

	following term/s)* (Notification of Withdrawal from Studies form must be received 4 weeks prior to term commencement by Student Administration*)					

*Please note: Refunds granted in these circumstances may incur an education **agent's fee where applicable**

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Version 3 Effective Date: November 2014

3.11 Student Code of Conduct

Aim

The aim of this policy and procedure is to define the system used to meet the requirements of:
SNR 16.1, 16.3, 16.5, 16.7

The following Code of Conduct is intended to ensure that each member of Waterford College's community enjoys satisfactory conditions in which to study, resulting in benefits for all.

Students are expected to conduct themselves in a manner that will not discredit themselves or the Waterford College.

Student rights

All students have:
- ➢ The right to be treated with respect by others, to be treated fairly and without discrimination, regardless of religious, cultural, racial and gender differences, age, disability or socio-economic status

- ➢ The right to be free from all forms of intimidation

- ➢ The right to work in a safe, clean, orderly and cooperative environment

- ➢ The right to have personal property (including computer files and student work) and the Institute's property protected from damage or other misuse

- ➢ The right to have any disputes settled in a fair and rational manner - this is accomplished by the Appeals process

- ➢ The right to work and learn in a supportive environment without interference from others

- ➢ The right to express and share ideas and to ask questions

- ➢ The right to be treated with politeness and courtesy at all times

Student Responsibilities

Students have the responsibility to:
- ➢ Allows other to learn

- ➢ Make our premises safe by not threatening, bullying or hurting others in any way

- ➢ Make the classroom safe by obeying instructions

- ➢ Make our premises safe by not bringing illegal substances or weapons onto our premises

- ➢ Not steal, damage or destroy the belongings of others

Computer Use

The Institute is committed to providing a secure computing environment free of harassment. The use of computer facilities to send to share offensive, abusive, threatening or unnecessarily repetitive messages or materials may be harassment. If you are being harassed electronically, contact your Trainer or Institute staff.

The following rules apply to computer use at the Institute:
- ➢ Protect your password if you are issued one and do not share it with others

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Version 3 Effective Date: November 2014

➢ Do not:
- obtain, copy or in any way remove, modify or interfere with the Institute's information from a system.
- remove, add tamper or disconnect any hardware components.
- cause or attempt to cause any computer systems to fail or introduce viruses.
- send offensive, abusive, threatening or unnecessarily repetitive messages.
- send emails that purport or imply to represent the Institute unless authorised to do so.
- use your computer privileges for unauthorised personal or for commercial purposes.
- use your computer to send/receive personal emails and downloads.
- download unauthorised software or data from internet sites.

➢ Follow email etiquette by always reading and checking messages before they are sent to avoid any unintentional offence or misunderstanding.

➢ Unauthorised copyrighted materials, e.g. commercial MP3 music or movies on your computer are illegal and are strictly forbidden.

➢ Managers are authorised to examine, move, copy or delete any files and email messages when this is appropriate and to disable the network connection to isolate any compromised computers.

Prohibited Actions

Acts that seriously interfere with the basic purposes, necessities and processes of the community, or which deny the essential rights, health and safety of other members of the community, are prohibited:

1.   Health & Safety

Students are required to observe any lawful directions given by the Waterford College staff members in order to ensure the safety of individuals and the orderly conduct of learning programs in line with Workplace Health & Safety Legislation.

2.   Waterford College Property

The property of the Waterford College, as well as that of individuals, will be respected. The unauthorised entry into, use of, theft of, damage to, or destruction of the Waterford College buildings, equipment or property is prohibited.

3.   Smoking

Smoking is not permitted in any of the Waterford College owned or operated building.

4.   Alcohol, Drugs, Gambling & Theft

The appropriate authority will be called to deal with students who breach the law regarding alcoholic beverages, drugs, gambling, theft and other infractions which may be carried out.

5.   Possession of Dangerous Items

Students may not use or carry prohibited and/or dangerous articles/weapons whilst training.

6.   Disruptive Behaviour

The appropriate authority will be called to deal with students who:

- Obstruct or disrupt any official meeting, ceremony or other activity.
- Refuse to leave the Waterford College property after being requested to do so.
- Assault or attempt to assault any person whilst training with the Waterford College.

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A formal discipline / warning system exists within the Waterford College. Continued disruptive behaviour may result in students being removed from training.

7. Attendance

Students are required to attend all classes. If you are absent from a training session you will be marked as absent on the daily Attendance Record. If you are able to provide a medical certificate for being absent, this will be placed in your file and you will not be marked as absent for the period covered by the   medical certificate, provided you agree to make up the missed component of your course, either through attending another scheduled class or undertaking additional tuition provided by the Institute and/or successfully completing an assessment task(s). If you do not take up either of these options, you will subsequently be marked as absent.

Unless there are exceptional circumstances, you will not be admitted to a class, in which an assessment is scheduled to take place, if you arrive more than one (1) hour after the commencement of the class. The Training Manager will determine if there are exceptional circumstances. In the absence of the Training Manager, the decision will be made by the Trainer.

8. Phone Calls

Students are not to receive phone calls during training hours. Important messages are to be left at reception, which will be passed onto you. Students may not use the Institute's phones. Students must ask a staff member for permission to make a call if you need to make urgent emergency or toll calls. ***Mobile phones and pagers <u>must</u> be turned off before training commences.***

Rules and regulations

➢ Students are not to leave the Institute during class times without authority.

➢ Strictly no alcohol/drugs to be brought on to the premises or training site.

➢ The following will result in intervention and probable disciplinary procedures:
  • Use of or under the influence of drugs, alcohol or solvents at a training venue.
  • Harassment or discrimination

➢ Use of abusive or threatening language

➢ Theft of property belonging to the organisation or other parties may result in suspension or prosecution.
➢ All areas of the building are to be kept in a clean and tidy state at all times.

➢ Students must abide by the Institute's policies and procedures.

➢ Students are not to engage in plagiarism and other forms of assessment malpractice

Cheating and Plagiarism

No cheating or plagiarism is allowed in any work submitted for assessment as outlined in the Institute's Student Academic Misconduct policy and procedure.

Where it is found that a student has cheated or plagiarised work submitted for assessment, the Institute reserves the right to disallow the work and to award a result of NYC for the unit, and to suspend or cancel the enrolment of the student under the Institute's Deferment, Suspension or Cancellation policy.

Assessment Malpractice

The use of dishonest practices in an assessment is unacceptable. Examples of such practices are:
➢ Using notes during a closed book test

➢ Submitting work that has been copied from another student

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Version 3 Effective Date: November 2014

> ➢ Working with others on an assessment which is not group based

> ➢ Submitting work that has been copied from another source (e.g. a book, website, magazine article, or a former student)

Any student who is suspected of using dishonest practices (or has helped another student to use such practices) in an assessment, will be subject to disciplinary procedures.

Where it is found that a student has taken part in dishonest practices (or has helped another student to use such practices) in an assessment, the Institute reserves the right to disallow the work and to award a result of NYC for the unit, and to suspend or cancel the enrolment of the student under the Institute's Deferment, Suspension or Cancellation policy.

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

SECTION 4

COURSE RELATED INFORMATION

4.1	Student Feedback and Course Progress
4.2	Certificates and Qualifications
4.3	General Administration

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Version 3 Effective Date: November 2014

4.   COURSE RELATED INFORMATION

Qualification

BSB30612 Certificate III in International Trade

Target Group

This qualification reflects the role of skilled operators who apply a broad range of international trade competencies in varied work contexts, using some discretion and judgment and relevant theoretical knowledge. They may provide technical advice and support to a team.

Pathways

Pathways into the qualification

Preferred pathways for candidate considering this qualification include:

- After achieving the BSB20112 Certificate II in Business or other relevant qualification/s

OR

- With vocational experience in assisting international trade / business team leaders, supervisors or managers to conduct international trade activities but without formal international trade qualifications.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the qualification

After achieving the BSB30607 Certificate III in International Trade, the candidate may undertake the BSB41107 Certificate IV in International Trade, or a range of other Certificate IV qualifications.

Packaging Rules
There are **12 units** required for this qualification

- **1 core unit**
- **11 elective units**

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Unit details

Unit Code	Title	Core /Elective
BSBWHS401A	Implement and monitor WHS policies, procedures and programs to meet legislative requirements	C
BSBINT301B	Apply knowledge of the international trade environment to complete work	E
BSBINT302B	Apply knowledge of legislation relevant to international trade to complete work	E
BSBINT303B	Organise the importing and exporting of goods	E
BSBINT304B	Assist in the international transfer of services	E
BSBINT305B	Prepare business documents for the international trade of goods	E
BSBFIA301A	Maintain financial records	E
BSBITU303A	Design and produce text documents	E
BSBITU306A	Design and produce business documents	E
BSBPUR301B	Purchase goods and Services	E
BSBSUS301A	Implement and monitor environmentally sustainable work practices	E
BSBINM302A	Utilise a knowledge management system	E

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Version 3 Effective Date: November 2014

Qualification

BSB40507 Certificate IV in Business Administration

Target Group

This qualification reflects the role of individuals who use well-developed skills and board knowledge base in a wide variety of contexts. They apply solutions to defined range of unpredictable problems, and analyse and evaluate information from variety of sources. They may provide leadership and guidance to others with some limited responsibility for the output of others.

Pathways

Pathways into the qualification

Preferred pathways for candidates considering this qualification include:

- After achieving the BSB30412 Certificate III in Business Administration or other relevant qualification/s

OR

- Providing evidence of competency in the majority of units required for the BSB30412 Certificate III in Business or other relevant qualification/s

OR

- Vocational experience in providing administration or operational support to individuals and /or teams but without a formal business administration qualification.

This breadth of expertise would equate to the competencies required to undertake

Pathways from the qualification

- After achieving the BSB50407 Diploma of Business Administration, candidates may undertake a range of Diploma level qualifications within BSB07 Business Training Package, or other Training Packages.

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Packaging Rules

There are **10 units** required for this qualification

- **10 elective units**

Unit details

Unit Code	Title	Nominal Hours	Core/ Elective
BSBCCO501B	Develop Business Continuity Strategy	130	E
BSBCUS402B	Address Customer Needs	50	E
BSBFIA401A	Prepare Financial Reports	50	E
BSBITA401A	Design Databases	60	E
BSBITU401A	Design and Develop Complex Text Documents	100	E
BSBMKG413A	Promote Products and Services	40	E
BSBRES401A	Analyse and Present Research Information	40	E
BSBRSK401A	Identify Risk and Apply Risk Management Processes	50	E
BSBSUS301A	Implement and Monitor Environmentally Sustainable Work Practices	40	E
BSBWRT401A	Write Complex Documents	50	E
	Total Nominal Hours **ADDITIONAL - ALLOCATED TIME FOR REASSSSEMENT**	**610** **15**	

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Qualification

BSB41107 Certificate IV in International Trade

Target Group

This qualification reflects the role of individuals who use well-developed international trade skills and broad knowledge based in a wide variety of international trade contexts. They apply solutions to a defined range of unpredictable problems, and analyse and evaluate information from a variety of sources. They may provide leadership and guidance to others with some limited responsibility for the output of others, however they typically report to a more senior international trade/business practitioner.

Pathways

Pathways into the qualification

Preferred pathways for candidate considering this qualification include:

- After achieving the BSB30612 Certificate III in International Trade or other relevant qualification/s

OR

- With vocational experience in assisting international trade / business team leaders, supervisors or managers to conduct international trade activities but without formal international trade qualifications.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the qualification

After achieving the BSB30607 Certificate IV in International Trade, the candidate may undertake the BSB50807 Diploma of International Business, or a range of other Diploma qualifications.

Packaging Rules

There are **10 units** required for this qualification

- **10 elective units**

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RTO No – 21797   ABN – 15 120 092 846
Version 3 Effective Date: November 2014

Unit details

Unit Code	Title	Core /Elective
BSBCOM405A	A promote compliance with legislation	E
BSBINT408B	Prepare business advice on the taxes and duties for international trade	E
BSBINT409B	Plan for international trade	E
BSBMKG415A	Research international markets	E
BSBMKG416A	Market goods and services internationally	E
BSBCUS402B	Address customer needs	E
BSBMKG414B	Undertake marketing activities	E
BSBITU401A	Design and develop complex text documents	E
BSBRSK401A	Identify risk and apply risk management processes	E
BSBRES401A	Analyse and present research information	E

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Qualification

BSB41307 Certificate IV in Marketing

Target Group

The Qualification reflects the role of individuals who use well-developed marketing skills and a broad knowledge base in a wide variety of marketing contexts. They apply solutions to a defined range of unpredictable problems, and analyse and evaluate information from a variety of sources. They may provide leadership and guidance to others with some limited responsibility for the output of others, however they typically report to a more senior marketing practitioner.

Depending on the units selected to from the qualification, candidates may complete a generic marketing qualification or specialise in direct marketing, public relations or international marketing.

Pathways

Pathways into the qualification

Preferred pathways for candidate considering this qualification include:

- After achieving the BSB30112 Certificate III in Business or other relevant qualification/s

OR

- With vocational experience in assisting international trade / business team leaders, supervisors or managers to conduct marketing activities but without formal marketing qualifications.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the qualification

After achieving the BSB41307 Certificate IV in Marketing, the candidate may undertake the BSB51707Diploma of Marketing, or a range of other Diploma qualifications.

Packaging Rules

There are **10 units** required for this qualification

- **4 core unit**
- **6 elective units**

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Unit details

Unit Code	Title	Core /Elective
BSBCMM401A	Make a presentation	C
BSBMKG401B	Profile the market	C
BSBMKG402B	Analyse consumer behaviour for specific markets	C
BSBMKG408B	Conduct market research	E
BSBCUS402B	Address Customer needs	E
BSBFIM501A	Manage budgets and financial plans	E
BSBMKG413A	Promote products and services	E
BSBMKG416A	Market goods and services internationally	E
BSBPUB401A	Develop and apply knowledge of public relations industry	E
BSBPUB403A	Develop public relations documents	E

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Qualification

BSB51107 Diploma of Management

Target Group

This qualification reflects the role of individuals who are engaged to manage the work of others or to add value to or review management practices. Their role may be in any industry or organisational setting. Typically people in these roles will have considerable experience in their respective industries or vocational areas and combine an informed perspective of specific work requirements with their managerial approaches. The qualification requires a sound theoretical knowledge base and managerial competencies to plan, carry out and evaluate own work or the work of a team.

Pathways

Pathways into the qualification

Preferred pathways for candidate considering this qualification include:

- After achieving the BSB40807 Certificate IV in Frontline Management or other relevant qualification/s

OR

- Providing evidence of competency in the majority of units required for the BSB40807 Certificate IV in Frontline Management or other relevant qualification/s

OR

- With vocational experience but without formal supervision or management qualification.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the qualification

After achieving the BSB51107 Diploma of Management, candidate may undertake the BSB60407 Advanced Diploma of Management, or a range of other Advanced Diploma qualifications.

Packaging Rules

There are **8 elective units** required for this qualification

- **8 elective units**

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Unit details

Unit Code	Title	Elective
BSBADM502B	Manage Meeting	E
BSBMGT502B	Manage people performance	E
BSBMGT515A	Manage operational plan	E
BSBADM506B	Manage business documents design and development	E
BSBMGT516C	Facilitate continuous improvement	E
BSBRSK501B	Manage risk	E
BSBWOR502B	Ensure team effectiveness	E
BSBHRM503B	Manage performance management systems	E

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Qualification

BSB60407 Advanced Diploma of Management

Target Group

This qualification reflects the role of individuals who have senior or managerial responsibilities. They may oversee the work of others or have specialised roles where they do not supervise others but provide strategic leadership.

Pathways

Pathways into the qualification

Preferred pathways for candidate considering this qualification include:

- After achieving the BSB51107 Diploma of Management or other relevant qualification/s

OR

- with substantial vocational experience, in management but without a formal qualification.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the qualification

After achieving the BSB40407 Advanced Diploma of Management, the candidate may undertake the studies at higher education level.

Packaging Rules

There are **8 units** required for this qualification

- **3 core unit**
- **5 elective units**

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Unit details

Unit Code	Title	Core /Elective
BSBINN601B	Manage organisational change	C
BSBMGT605B	Provide leadership across the organisation	C
BSBMGT616A	Develop and implement strategic plans	C
BSBFIM601A	Manage finances	E
BSBMGT608C	Manage innovation and continuous improvement	E
BSBMGT617A	Develop and implement a business plan	E
BSBMKG609A	Develop a marketing plan	E
BSBRSK501B	Manage risk	E

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Qualification – Unit of Competency

FNSBKG404A Carry Out Business Activity and Instalment Activity Statement Tasks

Target Group

This unit describes the performance outcomes, skills and knowledge required to process business taxation requirements related to Business Activity Statements (BAS) and Instalment Activity Statements (IAS), including the completion of Activity Statements.

This unit has application to a variety of financial services sectors. It is applicable to individuals working within enterprises and job roles subject to licensing, legislative, regulatory or certification requirements, including various aspects of taxation law (including but not limited to the *Income Tax Assessment Act 1936, and the Income Tax Assessment Act 1997),* other relevant legislation and Goods and Services Tax (GST) rulings.

This unit applies to individuals who are responsible for providing business activity statements (BAS) services and related bookkeeping tasks across all industries and who are working directly for organisations or are small business owners, contractors or service providers.

Packaging Rules

- Not applicable

Unit details

Unit Code	Title	Nominal Hours
FNSBKG404A	Carry Out Business Activity and Instalment Activity Statement Tasks	40

Qualification – Unit of Competency

FNSBKG405A Establish and Maintain a Payroll System

Target Group

This qualification reflects the role of individuals who use well-developed skills and board knowledge base in a wide variety of contexts. They apply solutions to defined range of unpredictable problems, and analyse and evaluate information from variety of sources. They may provide leadership and guidance to others with some limited responsibility for the output of others.

Pathways

Pathways into the qualification

Preferred pathways for candidate considering this qualification include:

- After achieving Unit – FNSBKG405A (Establish and Maintain a payroll system) or other relevant qualification/s

OR

- Providing evidence of competency in the majority of units required for the Unit – FNSBKG405A (Establish and Maintain a payroll system) or other relevant qualification/s

OR

- With vocational experience but without formal supervision or management qualification.

This breadth of expertise would equate to the competencies required to undertake this qualification.

Pathways from the qualification
After achieving the– FNSBKG405A (Establish and Maintain a payroll system) , candidate may undertake the, or a range of other Certificate IV, diploma or Advanced Diploma qualifications in area of accounting or finance.

Packaging Rules

- Not applicable

Unit details

Unit Code	Title	Nominal Hours
FNSBKG405A	Establish and maintain a payroll system	30

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4.1   Student Feedback and Course Progress

Institute trainers and staff are responsible for the delivery and monitoring of your learning. If you feel that you have been disadvantaged in the learning environment as a result of a learning disability or any other disability, language, culture, gender, age or other perceived barriers you should discuss this with your trainer in the first instance.

The Institute welcomes feedback from students. Review and evaluation of our programs occur at scheduled intervals over the duration of your course. Students are encouraged to provide feedback to assist us as part of our Quality Assurance processes.

Feedback surveys are handed out to you at the end of a term of study. You are also invited to give feedback at any time through the Feedback Forms located at the Institute reception.

Please, also refer to **3.6 Course Progress**.

- Student Evaluation of Agent
- Student Evaluation of Teaching
- AQTF Learner Questionnaire

4.2   Certificates and Qualifications

The Institute will issue AQF qualifications to students in their Certificate, Diploma courses at graduation. Qualifications will be issued when all competencies have been achieved and there are no outstanding fees owed to the Institute.

Qualifications can also be mailed to you but the Institute cannot take any responsibilities for damage in transit. If you need to replace a lost certificate or qualification, you should apply in writing using the "*Request for a Documents",* the cost of replacement is $75.00.

Academic transcripts will be issued at the completion of your course if you have achieved all of your required competencies.

Statement of Attainment

The student is entitled to a formal Statement of Attainment at the end of each study period at no additional cost, provided that student has paid in full for the tuition related to the units of competency on the Statement of Attainment.

4.3 General Administration

Use of Computer Facilities

Students have access to computer facilities as indicated on the notice board at the time of course commencement. There are rules which must be followed to enable the efficient use of these resources:

- No food or drink is permitted in the computer lab
- Only students of the Institute are allowed access to the computers. Friends are not permitted
- Computers are to be used for course purpose only, or for emails
- Students are required to protect their access codes and passwords. These are not to be shared with others

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- The internet must not be used for unlawful purposes.
- Any damage to the computers will result in disciplinary action
- Any misuse of the computer facilities, such as downloading inappropriate material, someone else's login or inappropriate software will result in disciplinary action

Photocopying

Students have access to photocopying facilities at the Institute. A fee is charged. All students are required to conform to regulations regarding copyright.

Use of Mobile Phones in Class

- Mobile phones must be switched off or on silent whilst in class
- SMS messaging is not allowed in class

Student ID Cards

Your Student ID card is used for the purposes of identification and you should carry it on campus at all times. If you lose your card, the replacement cost is $5.00. Your student card will also allow you to access libraries, photocopying facilities and perhaps some discounts on text books and cinemas.

Personal property

The Institute takes no responsibilities for lost or stolen property. It is the student's responsibility to take care of personal possessions.

Minimum dress standards

Dress standards should reflect a professional attitude. The minimum dress standards for your particular course will be outlined by your educator at the first session, and should be adhered to at all times whilst participating in practical class situations.

It should be noted that the non-wearing of personal protective equipment (PPE) will result in the removal of the person from the area, and could also result in students being refused their assessment. Should you require any more detailed information on requirements, please contact the Institute's Student Administration Office.

Handouts/Printed Material

These are provided as resources for your learning. Please file these appropriately as they will assist you in assessments.