



Basa Education  
& Counselling  
Services

National Education and training

# BECS CODE OF PRACTICE

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### **DISCLAIMER**

The information contained in this booklet is accurate and current as of October 2010. Basa Education and Counselling Services (BECS), reserves the right not to offer a course or Unit and to decline the enrolment of a student in a course or unit on the basis of student demand, resource constraints, not satisfying entry requirements, incomplete/incorrect documentation or prior history of the student not operating within the general guidelines of the policies and procedures of BECS as outlined in BECS's Code of Practice (Version 3).

Course structures, assessment, unit objectives and content are subject to amendment as circumstances dictate. It is therefore recommended that students periodically refer to BECS's website at [www.becsonline.com.au](http://www.becsonline.com.au) for any updates.



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**Purpose**

To outline BECS commitment to its customers to conduct its business soundly and ethically using quality management systems that ensures compliance to standards and excellence in customer service.

**Our Commitment to You**

BECS is focused on meeting your needs. We promise to:

- Understand the needs of our students, staff and the industries in which we operate or do business with.
- Understand the specific needs of your business and be flexible in our approach to serving you.
- Operate professionally and always conduct business in a sound, ethical and fair manner.
- Employ staff who are knowledgeable, qualified, objective, experienced, and always act with integrity.
- Treat your information confidentially, protect your rights to privacy and ensure the accuracy and integrity of the information we hold about you.
- Respond to student and industry needs and remain competitive within our market.
- Ensure the confidentiality and accuracy of your information.

**Educational Guarantee**

BECS is committed to providing excellence in education and training. We are committed to:

- Providing quality education and training services to the vocational education and training sector in Australia.
- Meeting and striving to exceed the requirements of the Australian Quality Training Framework (AQTF) and relevant guidelines related to Vocational Education and Training legislation.
- Delivering training, assessment and consultancy services that are flexible to the needs of our customers.
- Producing professional graduates who are appropriately trained, job-ready and have the employability skills expected by industry.
- Developing courses and assessment processes that meet industry demands; cater for a range of learning styles; and are flexible to a diverse range of student needs.
- Engaging with industry by participating in and/or facilitating relevant professional associations, networks, focus groups and steering committees.
- Maintaining a supportive learning environment that is conducive to the success of our students, clients and staff.

**Management Principles**

BECS aims to be the best it can be. To enable this, we:

- Use developed and proven management principles, systems and policies to operate an efficient and effective Organisation.
- Are committed to quality assurance and continuous improvement and incorporate these principles into all aspects of the business.
- Regularly collect feedback and continuously use it to improve and enhance our training and assessment services, client services and management systems.



- Ensure that decision making of senior management is informed by the experiences of our trainers and assessors.

### **Marketing**

BECS will market and advertise all qualifications, courses and other services with integrity, accuracy and professionalism avoiding vague and ambiguous statements. Students will be recruited in an ethical and responsible manner and no false or misleading comparisons will be drawn with any other provider or course.

Students will receive clear, accurate and appropriate information to make an informed decision about enrolment into a course prior to enrolment.

### **Recognition of Qualifications**

BECS recognizes Australian Qualifications Framework (AQF) qualifications and statements of attainment issued by other Registered Training Organisations in Australia.

### **Access & Equity**

BECS is committed to the application of ethical and socially just practices in all areas of operation to successfully provide training delivery and assessment services to all eligible clients regardless of race, religion, gender, socio-economic background, disability or age. Disabled access and facilities are available in venues used by BECS.

BECS encourages all staff to ensure that all students have sufficient resources provided to them to assist them to successfully complete course requirements.

The evidence of this commitment is our instigation and application of:

- Language, Literacy and numeracy support,
- Flexible delivery of training and/or assessment components of the course,
- Flexible resource and curriculum development,
- Inclusivity and Non-discriminatory student selection procedures,
- Self paced learning option,
- Opportunities for re-assessment,
- Suitable venue,
- Not to obstruct any students actions to lodge a complaint to the RTO,
- Services that comply with partner RTO Policies.

For further assistance and information regarding access, equity and inclusion, please refer to the Human Rights and Equal Opportunities Commission (HREOC) website: <http://www.hreoc.gov.au>

### **Language, Literacy and Numeracy (LL &N)**

Student's LL &N skills at time of enrolment may impede learning and course progression if not identified and addressed. BECS will make every endeavour to work with the student to ensure that the student is able to participate in training and assessment processes and demonstrate competency.

Students who may have any concerns about their capacity to participate because of LL&N issues are encouraged to discuss this with BECS for further advice on the process.



### **Student Selection**

BECS ensures that clear and accurate processes for application and selection are outlined and publicized. Entry requirements for each course are clearly outlined in the relevant Course Guide and students wishing to participate in a course or unit of study must meet these requirements.

### **Financial Standards**

BECS:

- Adopts sound business and financial planning systems.
- Has fair, equitable and transparent fees, charges and refund policies which are made available to the public and to all students prior to enrolment.
- Will have its accounts certified by a qualified accountant to Australian Accounting Standards at least annually.
- Will provide a certificate of accounts to its registering body upon request.
- Will provide a full audit report on BECS financial accounts from a qualified and independent accountant upon request by its registering body.

### **Legal Obligations**

BECS:

- Maintains adequate, current and appropriate insurance and registration.
- Complies with all laws relevant to operation of its business. BECS maintains a register of all applicable laws and legislation.
- Allows government departments or their agents' access to training records, delivery locations and staff for auditing purposes when required, in line with privacy and confidentiality principles.
- Will keep records of competency completion for a period of at least thirty (30) years.
- Will manage the transition from superseded Training Packages within twelve (12) months of their publication on the National Training Information Service in line with the requirements of the AQTF.

BECS will appropriately manage the transition from superseded accredited courses so that it delivers only currently accredited courses.

### **Related Policies**

- POL09 - Continuous Improvement & Quality Assurance Policy
- POL30 - Privacy and Personal Information Policy
- POL01 - Access, Equity and Anti-Discrimination Policy
- POL22 - Management/Governance of RTO
- POL17 - Financial Management Policy
- POL02 - Record Management Policy
- POL01.2 - Student Welfare Policy
- POL23 - Marketing and Advertising Policy

### **Related Procedures and Documents**

- F09-04 - Continuous Improvement Register
- F08-01 - Legislation in Training programs



- F23-01 - Marketing and advertising approval checklist
- POL30 - Access to Records Procedure
- F30-01 - Consent to BECS to Release Information

## Sanctions

BECS will honour all guarantees, policies and procedures, and management practices outlined in BECS 'Code of Practice' in order to maintain high professional standards in the design, delivery and assessment, and marketing of its courses and as such, safeguard the interests and welfare of our students.

We understand that if we do not meet the obligations of this Code or supporting regulatory requirements, we may have our partnership arrangement with our partner RTO withdrawn by the partner RTO.

## Policies and Procedures

### Customer Service Policy

#### **Policy Statement**

BECS is a private organization and values its relationship with all of its customers.

BECS is committed to providing quality services in education and training, to all of its customers.

The Code of Practice assures BECS' clients of this commitment and demonstrates the company operations are consistent with the standards of education, training and assessment under the Australian Quality Training Framework (AQTF) Standards.

BECS requires its trainers and assessors to:

- Provide an environment in which learners, are able to demonstrate competency in a most time efficient manner;
- Ensure that any training and assessment environment complies with any government regulations relating to Equal Employment Opportunity and Occupational Health and Safety.

BECS encourages you to discuss with us any issues that might prevent you from completing your training to allow us to identify appropriate alternatives with you.





**Policy Statement**

BECS is committed to promoting, encouraging and valuing equity and diversity with respect to its students and to provide students with the optimal environment to achieve a high level of success. BECS will ensure services offered are provided in a fair and equitable manner to all students, free from bias.

BECS is committed to providing flexible learning and assessment options, allowing students alternatives which recognize the diversity of their individual needs and circumstances aiding them in their learning goals.

BECS is committed to ensuring that all its training and assessment policies and procedures incorporate access and equity principles. BECS will ensure:

- all participants have equitable access to the benefits of training and assessment irrespective of their gender, age, race, religion, culture, linguistic background, marital status, geographic location, socioeconomic background, disability, sexual preference, family responsibility or political conviction.
- nominations and enrolments into training courses and programs will be conducted at all times in an ethical and responsible manner, ensuring fairness and compliance with Equal Opportunity legislation, and
- all participants/students have equitable access to training resources, facilities, support services, information, trainers and assessors, materials, assessment opportunities, learning opportunities, special needs materials, and equipment.

**Related AQTF Standards**

Standards: 2.1 & 2.4

**Definitions**

*Access & Equity* - Refers to the policies and approaches that ensure that BECS programs are responsive to the diverse needs of all clients

**1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, BECS is required to have written policies and procedures in place for access and equity issues and customer service. Furthermore BECS is required to ensure that all of its operational policies and procedures incorporate the principles of access and equity. BECS is required to set out its access and equity policies in a code of practice document and provide copies of such to all BECS personnel ensuring they adhere to those requirements.

**2. Policy Principles:****2.1.Principles**

- 2.1.1. BECS abides by access and equity principles.
- 2.1.2. BECS provides learning opportunities for potential students from equity groups. These groups include;
  - 2.1.2.1. Women.



- 2.1.2.2. Aboriginal people and Torres Strait Islanders.
- 2.1.2.3. Members of racial, ethnic, and ethno-religious minority groups.
- 2.1.2.4. People with a disability
- 2.1.3. BECS aims to meet the educational needs of all students, irrespective of their background.
- 2.1.4. BECS provides equal opportunity for all participants regardless of their gender, pregnancy, race, marital status, sexuality, age, family responsibilities, disability, transgender, political conviction, cultural background, linguistic background, religious belief, geographic location or socio-economic background.
- 2.1.5. BECS seeks to create a learning environment where all students are respected and can develop their full potential.
- 2.1.6. This policy applies to the advertisement of vacancies, recruitment, and training, conditions of employment, pay and, subject to exemptions, to all other aspects of trainer and assessor employment, i.e. contractors/consultants.

## **2.2. Special Needs**

- 2.2.1. Participants intending to enroll for training with BECS are requested prior to enrolment to advise BECS if they have any physical or other impairment which may adversely affect their ability to successfully undertake training and assessment.
- 2.2.2. Participants with disabilities are encouraged to discuss with BECS any 'special needs' and/or 'reasonable adjustments' to the study environment which they consider are necessary or would assist them in the performance of their studies.
- 2.2.3. BECS, in collaboration with the participant, will assess the potential for the participant to successfully complete the training which may include flexible delivery options to optimise the ease and benefit of the participants

## **2.3. Language, Literacy and Numeracy**

- 2.3.1. Each Training Package sets a minimum requirement in language, literacy and numeracy skills of participants, with which BECS must abide.
- 2.3.2. BECS makes appropriate concessions for language, literacy and numeracy issues of clients where these concessions do not compromise the requirements of the relevant Training Package and the integrity, equity and fairness of assessment.
- 2.3.3. Where there are entry requirements for courses e.g. literacy in English and numeracy, these are clearly stated in pre-enrolment and enrolment literature.
- 2.3.4. Where a participant is deemed, either prior to enrolment or throughout the training program, to possess a lower level of language, literacy or numeracy than is the minimum requirement for the requirements of the Training Package, BECS will provide appropriate advice and support to the participant regarding further learning options. At times, further language or literacy development or remedial assistance may be required to be completed prior to the continuation or completion of the participant's course of study.

## **2.4. BECS Commitment**

- 2.4.1. BECS will demonstrate its commitment by:
  - 2.4.1.1. Selecting students according to a fair and non-discriminatory process
  - 2.4.1.2. Making its training relevant for a diverse student population



- 2.4.1.3. Providing suitable access to facilities and resources
- 2.4.1.4. Providing appropriate support services
- 2.4.1.5. Providing appropriate complaints procedures
- 2.4.1.6. Consulting with relevant industry groups
- 2.4.1.7. Raising staff, contractor and student awareness of equity issues.

### Procedure

Access and equity procedures are embedded in the various BECS procedures

### Legislative Obligations

This policy acknowledges BECS's legal obligations in relation to Access and Equity under State and Federal law, to ensure that all training and assessment practices are fair and equitable, and the working and learning environment is nondiscriminatory.

#### Relevant legislation

The following Acts make discrimination and harassment in the provision of education, employment and the provision of goods and services, unlawful.

*Vocational Education and Training Act 1994 Tasmanian Consolidated Acts:*

[http://www.austlii.edu.au/au/legis/tas/consol\\_act/veata1994306/](http://www.austlii.edu.au/au/legis/tas/consol_act/veata1994306/)

The objectives of this Acts are to:

- Establish a system for the effective and efficient provision of high quality vocational education and training to meet the immediate and future needs of industry and the community.
- Provide mechanisms for employees, employers, associations of employees or employers and the community to advise government on vocational education and training needs and priorities to meet those needs.
- To support the continued development of high quality training by and within industry.
- To facilitate the provision of vocational education and training that is relevant to employment and encourages the generation of employment opportunities.
- To regulate the registration of training organizations within the State
- To further the commitment by the States, the Territories and the Commonwealth, in partnership with industry, to work together to increase the participation of Australians in an integrated national vocational education and training system that allows for local diversity.
- To promote a community commitment towards supporting young people in the compulsory participation phase.
- To implement initiatives that are consistent with the ministerial declaration 'Stepping forward: improving pathways for all young people'.

#### Anti-Discrimination

*Equal Opportunity Act 1995*

[http://www.austlii.edu.au/au/legis/vic/consol\\_act/eoa1995250/](http://www.austlii.edu.au/au/legis/vic/consol_act/eoa1995250/)

The Equal Opportunity Act makes it unlawful for anyone to be treated unfairly or discriminated against on the grounds of sex, sexuality, race, physical or intellectual impairment or age. Equal Opportunity law also makes lawful the establishment of special processes, measures or schemes,



for the benefit of employees or students from equity targeted groups, which are designed to redress past disadvantages.

*Racial Discrimination Act 1975*

[http://www.austlii.edu.au/au/legis/cth/consol\\_act/rda1975202/](http://www.austlii.edu.au/au/legis/cth/consol_act/rda1975202/)

The Racial Discrimination Act promotes equality before the law for all persons, regardless of their race, colour or national or ethnic origin, and makes discrimination against people on the basis of their race, colour, descent or national or ethnic origin unlawful.

*Sex Discrimination Act 1984*

[http://www.austlii.edu.au/au/legis/cth/consol\\_act/sda1984209/](http://www.austlii.edu.au/au/legis/cth/consol_act/sda1984209/)

The Sex Discrimination Act promotes equality between men and women and eliminates discrimination on the basis of sex, marital status or pregnancy and, with respect to dismissals, family responsibilities. The Act also eliminates sexual harassment at work, in educational institutions, in the provision of goods and services, in the provision of accommodation and the delivery of Commonwealth programs.

*Disability Discrimination Act 1992*

[http://www.austlii.edu.au/au/legis/cth/consol\\_act/dda1992264/](http://www.austlii.edu.au/au/legis/cth/consol_act/dda1992264/)

The Disability Discrimination Act eliminates discrimination against people with disabilities, promotes community acceptance of the principle that people with disabilities have the same fundamental rights as all members of the community, and ensures as far as practicable that people with disabilities have the same rights to equality before the law as other people in the community.

BECS will provide training and assessment products and services to all clients and students regardless of race, gender, religion, marital status, physical or intellectual impairment, or sexual orientation. The organisation will endeavour to provide appropriate support measures to enable students to complete courses.

*Occupational Health, Safety and Welfare Act 2004*

[http://www.austlii.edu.au/au/legis/vic/consol\\_act/ohasa2004273/](http://www.austlii.edu.au/au/legis/vic/consol_act/ohasa2004273/)

This Act requires that all employees and students be provided with a safe and healthy working environment. It encourages registered associations to take a constructive role in promoting improvements in occupational health, safety and welfare practices and assisting employers, employees and students to achieve a healthier and safer working environment.

Client Selection and Enrolment Policy and Procedures

POL14

**Policy Statement**

BECS is committed to ensuring all students enrolling on courses are treated fairly and equitably. BECS will ensure that

- no applicant is discriminated against for enrolment for any reason in accordance with Equal Opportunity legislation.
- no distinction is made between a domestic student residing in Australia or an international student studying while in Australia or in their home country.
- international students are ineligible to seek a student Visa to study in Australia based on their enrolment with BECS as our courses are not eligible for CRICOS consideration. Students from overseas are able to enroll and study with BECS from their home country, or from within



Australia if their visit to Australia is authorised by a Visa not related to their enrolment with BECS

## **Related AQTF Standards**

Standards 2.2

### **Definitions**

#### *Student*

A student is a client who is enrolled in a BECS course.

#### *International Student*

An international student is a client who lives overseas or in Australia and who is enrolled in a BECS course however their visit to Australia is authorised by a Visa not related to their enrolment with BECS

## **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, BECS is required to comply with relevant State and Territory laws including anti-discrimination, equal opportunity, racial vilification, disability discrimination. BECS is committed to providing the best practice, professional products and services to its clients and acknowledges it can only succeed in this with effective and efficient quality processes.

## **2. Policy Principles:**

All participants are enrolled non-discriminately and are clearly informed of the enrolment process and the following enrolment conditions.

### **2.1. Enrolment of Individual Participants**

2.1.1. Enrolment into training programs will be conducted at all times in an ethical and responsible manner, ensuring fairness and compliance with equal opportunity legislation.

2.1.2. Participant enrolments are subject to:

- availability of places on the training program, based on the maximum number of participants who can be accommodated under the particular circumstances; or
- satisfied entry criteria to the learning program; or
- resource constraints; or
- complete or correct documentation; or
- student operating within the general guidelines of the policies and procedures of BECS, as outlined in 'BECS Code of Practice'.
- payments received

2.1.3. If a training program is fully booked at the time a student enquires about enrolment into that particular training program they will either be placed on a "reserve" list or offered a place on another date that the program has been scheduled, which is not fully booked.

2.1.4. Participants on the 'reserve' list of a fully booked training program are given priority should a place become available. This is strictly on a first-in, first-served basis.

- 2.1.5. Enrolments will be considered tentative until payment has been received.
- 2.1.6. Should enrolment numbers reach maximum, and another person wishes to enroll on a course where there is a tentative enrolment, BECS will contact the tentative booking to confirm payment, or the place will be given to the new enrollee.
- 2.1.7. All participants enrolled on courses are advised in writing, upon receipt of their enrolment form and payment, that their place on the course is confirmed.
- 2.1.8. Course fees are payable in advance and/or in installments; enrolments are considered tentative until full payment and/or the associated deposit and a written form of enrolment is received by BECS.

### **Group Enrolment through company**

- 2.1.9. The Managing Director of BECS will negotiate course requirements with relevant company client representative.
- 2.1.10. The Company client representative will be required to submit written confirmation of course booking with names of individual participants included.
- 2.1.11. Once participant names have been received from company client, individual enrolment forms will need to be completed and forwarded to BECS so that individual student records can be created.

### **International Students**

Our courses are not eligible for CRICOS consideration; thus, international students are ineligible to seek a student Visa to study in Australia based on their enrolment with BECS. Students from overseas are able to enroll and study with BECS from their home country, or from within Australia if their visit to Australia is authorised by a Visa not related to their enrolment with BECS

## **2.2. Refunds for cancellation of enrolments**

- 2.2.1. See BECS Refund policy and procedures for full details regarding refunds.

## **2.3. Student transfer of enrolments**

- 2.3.1. Transfer to another course date - If a student is enrolled in a course and they wish to transfer to another course date for the same course they are able to do so providing they advise BECS in writing a minimum of 21 working days in advance. An administration fee is applicable for all transfers to another course date. (See the schedule of fees.) Should a student wish to transfer to another date and not provide at least 21 working days notice, the student forfeits the full course fee.
- 2.3.2. Transfer to another course - If a student is enrolled in a course and they wish to transfer to another course, they need to withdraw from the first course and make new enrolment application for the second course. Normal refund policy comes in to force for the first course, and the appropriate full course fee is charged for the second course.
- 2.3.3. Transfer to another delivery mode - If a student is enrolled in a course and they wish to transfer to another course delivery mode for the same course they are able to do so providing they advise BECS in writing a minimum of 28 working days in advance. An administration fee is applicable for all transfers to another course delivery mode. (See the schedule of fees.) Should a student wish to transfer to

another delivery mode and not provide at least 28 working days notice, the student forfeits the full course fee.

2.3.4. Transfer course enrolment to another student – Prior arrangement no later than 21 days prior to the course.

## **2.4. Cancellation of courses**

2.4.1. It is BECS policy to not cancel or postpone training programs. However, if for some unforeseen reason a course is cancelled or postponed students will be offered the training program on another date or in another learning mode. If, in the event that they do not accept this offer, or for some reason the offer cannot be made, their course fee will be refunded in full within one week of the date of the cancellation of the course.

## **2.5. Information to Students**

2.5.1. Prior to enrolment each student will be provided with a Course Information Book, detailing course content, units of competency, vocational outcomes, recognition of prior learning, prerequisites, cost and other relevant information, including details of payment and refund policy.

2.5.2. Prior to enrolment students also have access to student information in relation to the AQTF Standards. This includes details on the availability of flexible learning and assessment options, recognition of prior learning, mutual recognition, appeals and complaints, disciplinary procedures along with support and guidance offered to students.

## **2.6. Learning Structures**

2.6.1. Courses are designed with the flexibility to meet the needs and circumstances of a wide range of participants and facilitation incorporates adult learning principles. Moreover, wherever possible, learning is facilitated through exposures to practical case studies and scenarios developed specifically as learning tools. Group work is also an important feature of courses.

## **2.7. Special Needs**

2.7.1. Clients intending to enroll for training are requested prior to enrolment, to advise BECS if they have any physical or other impairments (e.g. English language difficulties, dyslexia), which may adversely affect their ability to successfully undertake the training. In this event, BECS can, with the student's agreement, assess their potential to successfully complete the training. This may also enable BECS to implement flexible delivery options, to optimise the ease and benefit of the clients learning.

## **2.8. Mutual Recognition, Recognition of Prior Learning (RPL)**

2.8.1. Mutual Recognition, Recognition of Prior Learning (RPL) is acknowledged and accepted as a standard practice of BECS. Refer to RPL policy.

## **3. Supporting Documentation**

BECS documentation which supports the implementation of this Policy includes:

3.1. F14-01 Student Enrolment form





- 3.2. F14-02 Course withdrawal/transfer form
- 3.3. F14-03 Student file note form
- 3.4. F14-04 Enrolment Progress Form
- 3.5. F14-05 Personal Detail Amendment Form
- 3.6. F14-06 Conf. of Enrolment Letter
- 3.7. F14-07 Enrolments Record
- 3.8. F14-08 Enrol. & Comp. by Qual
- 3.9. F14-09 Enrol. & Comp. by Qual S&T
- 3.10. F14-10 Enrol. & Comp. by Qual Overseas
- 3.11. F14-11 Enrol. & Comp. by U of Comp
- 3.12. F14-12 Enrol. & Comp. by U of Comp S&T
- 3.13. F14-13 Enrol. & Comp. by Qual Del Mode
- 3.14. F14-14 Enrol. & Comp. by Qual Del Mode Overseas

## **Procedure**

### **STEP 1**

#### **Student/Employer requests information**

##### *Clients Selection*

Enrolments are accepted in order of receipt of payment and where classes are full the application will be transferred to the next course.

1. A potential student/employer requests information on a course.
2. BECS provides information by post, fax, website or e-mail.
3. BECS negotiates with student/employer regarding training requirements.

### **STEP 2**

#### **Processing the application**

1. All student enrolments are processed through the student management system.

### **STEP 3**

#### **Generate individual student file**

1. An individual student file will be generated for each student. These files are kept in a locked filing cabinet. All student files, being active or non active will be kept for up to 12 months before they can be archived. A copy of these files will be sent to BECS partner RTO.

### **STEP 4**

#### **Confirm student enrolment**

1. Students enrolled into the course will receive a student confirmation letter, which informs the student of his/her 'student ID number' and outlines all the information the student needs to be informed of (i.e. date, time, place, refund policy), when course resource materials are going to be sent etc.)

### **STEP 5**

#### **Recording student's details**

1. Student's details will be recorded in the course file.



<b>Complaints and Appeal Policy and Procedure</b>	
<b>A - Customer Complaint</b>	<b>POL11</b>

**Policy Statement**

BECS acknowledges the clients' right to lodge a complaint when they are dissatisfied with the training and/or assessment services that they have been provided by BECS.

BECS will ensure that clients have access to a fair and equitable process for expressing complaints regarding training and assessment issues, and that BECS will handle customer complaints with fairness and equity.

In doing so, BECS will:

- have written procedures in place for collecting and dealing with customer complaints in a constructive and timely manner;
- ensure that these procedures are communicated to all staff, consultants and clients;
- ensure that all necessary procedures, relevant documentation and resources are in place to enable clients to submit a complaint;
- ensure that each complaint and its outcome is recorded in writing; and ensure that customer complaints and their outcomes are fed into continuous improvement initiatives.

**Related AQTF Standards**

Standard 2.7

**1. Introduction**

BECS is committed to providing high standards of customer service with the utmost professionalism. BECS is keen to maintain and enhance its level of service provision and value client feedback where opportunities for improvement can be identified.

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, BECS is required to have appropriate processes and procedures in place for dealing with customer complaints.

**2. Policy Principles:****2.1. Principles**

- 2.1.1. Complaints will be treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- 2.1.2. BECS ensures that participants have access to a fair and equitable process for dealing with complaints concerning training or assessment issues.
- 2.1.3. Every effort is made by BECS to resolve participant's complaints in a timely manner.
- 2.1.4. BECS will attempt to resolve complaints on an individual case basis, as they arise.



- 2.1.5. All participants have the right to express a concern or problem or lodge a complaint if they are dissatisfied with the training and assessment services that they have been provided while undergoing training with BECS.
- 2.1.6. The complaint resolution procedure is based on the understanding that no action will be taken without consulting the complainant, using a process of discussion, cooperation and conciliation.
- 2.1.7. The rights of the complainant and respondent will be acknowledged and protected throughout the entire complaint resolution process.
- 2.1.8. In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
- 2.1.9. BECS employees involved, in an official capacity, in any aspect of the process will maintain absolute confidentiality at all times.
- 2.1.10. All parties have the right to representation during the complaint resolution process.
- 2.1.11. The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- 2.1.12. Victimisation of complainants, respondents or anyone else involved in the complaint resolution process will not be tolerated.
- 2.1.13. Complainants retain the right to lodge a complaint with outside agencies at any point during the complaint resolution process.

## 2.2. Types of Complaints

A complaint may be made against, but is not limited to, the following areas:

- 2.2.1. **Training and Assessment Materials** – where training and assessment materials and/ or resources are thought to be inappropriate
- 2.2.2. **Information** – where information provided, be it written or verbal, is thought to be inappropriate or incorrect.
- 2.2.3. **Services** – where training and assessment services offered or provided are thought to be inappropriate services.
- 2.2.4. **Direct Discrimination** when a person(s) is treated unfairly, unequally or harassed on the basis of a characteristic or a presumed characteristic relating to person's sex; sexuality, pregnancy, marital status, race, disability or age.
- 2.2.5. **Indirect discrimination** when a requirement (written or unwritten rules, traditions, practices, procedures or structures) which is the same for everyone, has an unequal or disproportionate effect or result on particular groups of people.
- 2.2.6. **Victimisation** - if a person(s) treats another less favorably because they have:
  - lodged an informal/formal complaint of discrimination or harassment
  - provided evidence or information about a complaint
  - reasonably maintained their right or the right of another person to lodge a complaint
  - acted on their rights provided by the Equal Opportunity Act

Victimisation may constitute verbal abuse, deliberate isolation by other students or employees, denial of promotional or training opportunities or any other detriment. While the legislation provides protection against victimisation BECS is responsible for acting to ensure that it does not occur.

- 2.2.7. **Privacy Breach** - relating to the collection, storage, and access to collection, use and disclosure of personal information.
- 2.2.8. **Personal behaviours and conflict** – where an individual’s behaviour is considered to be inappropriate or causing disruption or conflict.

### 3. Supporting Documentation

BECS documentation which supports the implementation of this Policy includes:

- 3.1. F11-01 Complaint Lodgement Form
- 3.2. F11-02 Complaint Progress Form
- 3.3. F11-03 Complaint Outcome Letter
- 3.4. F11-04 Complaint Register
- 3.5. Complaints file

## Procedure

### STEP 1

#### **Register of complaint**

- 1. The complainant should raise the concern with the Managing Director of BECS.
- 2. The Managing Director of BECS will record the complaint in the ‘Complaints Register’ spreadsheet.
- 3. The Managing Director of BECS will attempt to resolve the complaint immediately
- 4. Should the complaint not be able to be addressed at this level, immediately, the complainant should fill out a ‘*F11-01 Complaints Lodgment form*’.

### STEP 2

#### **Progressing the complaint**

- 1. The Managing Director of BECS commences a ‘*Complaints file*’
- 2. The Managing Director of BECS will implement appropriate resolution techniques to resolve the issue promptly to the mutual satisfaction of all parties.
- 3. The Managing Director of BECS will ensure the complainant receives a letter acknowledging their receipt of the complaint and their prompt action in its resolution, within 2 (two) working days. This letter will also stress the requirement for absolute sensitivity and confidentiality.
- 4. The Managing Director of BECS will inform the respondent(s) (if applicable) by letter, that a complaint has been received, stressing the requirement for absolute sensitivity and confidentiality of the matter. This letter will be forwarded within two working days of receipt of the original formal complaint.
- 5. The Managing Director of BECS will review, investigate and mediate to resolve the complaint within 7 working days. Actions which may be taken include, but are not limited to:
  - 5.1. Discussing the facts of the complaint with the complainant, within 7 working days of receiving the complaint.
  - 5.2. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, within 7 working days.
  - 5.3. Where appropriate and applicable, encourage the disputants to engage in mediation on an informal level, with the Managing Director of BECS present.
  - 5.4. Interview all parties, including any witnesses individually (each of the parties must be informed that they have the right to have an independent person present during the interview of their choosing)

- 5.5. Advise and caution all parties on the importance and need to maintain confidentiality and discretion so as not to pervert the course of natural justice.
- 5.6. Conduct interviews privately and confidentially
- 5.7. Where applicable, report the outcome of the meeting with the respondent to the complainant.
- 5.8. Following discussion with the complainant and respondent, institute any necessary actions and /or administrative arrangements.
- 5.9. Make a decision to the resolve of the complaint, within BECS policies.
- 5.10. Monitor the learning environment to ensure that the behaviour does not recur.
- 5.11. Confirm all parties are satisfied with the outcome of the complaint.
- 5.12. Advise all parties on their rights for further review via an external arbitrator or through the Tasmanian Qualification Authorities (TQA).
6. The Managing Director of BECS will complete all necessary documentation including the: Customer Complaints Registration spreadsheet and Customer Complaints Progress form, noting their actions and outcomes of the complaints resolution process.
7. The Managing Director of BECS advises all parties of the outcome of the complaint in writing, within 10 working days.
8. The Managing Director of BECS ensures all agreed actions are put into place to resolve the complaint.
9. If any of the parties are still not satisfied with the outcome of the complaint the Managing Director of BECS will refer to the complaint an independent arbitrator.
10. The Managing Director of BECS will ensure that the subject, policy and procedures relating to any substantiated complaints is reviewed and progressed through continuous improvement processes, as appropriate.

### **STEP 3**

#### **Referral to External Arbitrator**

1. The independent arbitrator will investigate, review and mediate the complaint.
2. The independent arbitrator will prepare a formal written report on the investigation, providing a copy to both the Managing Director of BECS and complainant.
3. If any of the parties are not satisfied with the ruling by the independent arbitrator, any party can refer the complaint to BECS partner RTO or the Tasmanian Qualification Authorities (TQA). In this instance BECS is required to forward all documentation relating to the complaint and the complaint resolution process used to BECS partner RTO and/or the Tasmanian Qualification Authorities (TQA).

### **STEP 4**

#### **Referral to Tasmanian Qualification Authority (TQA)**

1. The Tasmanian Qualification Authorities (TQA) will review, investigate and mediate the complaint with all relevant parties and make a ruling.
2. BECS will abide by any resolutions as recommended by the Tasmanian Qualification Authorities (TQA).

\*\* For full details of the TQA process for complaints resolution see the TQA website:

<http://www.tqa.gov.au>

B - Appeals	POL03
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**Policy Statement**

BECS allows for students to appeal against assessment decisions in accordance with the framework for Competency Based Training and Assessment.

BECS acknowledges that students have the right to appeal an assessment decision, where they feel they have appropriate grounds.

BECS will ensure that clients have access to a fair and equitable process for lodging an appeal against an assessment decision.

BECS will process the appeal in a fair and equitable manner.

In doing so, BECS will:

- have written procedures in place for collecting and dealing with appeals in a constructive and timely manner;
- ensure that these procedures are communicated to all staff, consultants and clients;
- ensure that all necessary procedures, relevant documentation and resources are in place to enable clients to submit an appeal;
- ensure that each appeal and its outcome are recorded in writing;
- ensure that each appeal is heard by an independent person or panel;
- ensure that each appellant has the opportunity to formally present his or her case;
- ensure that each appellant is given a written statement of the appeal outcomes, including reasons for the decision; and
- take appropriate action upon the subject of any complaint that is found to be substantiated.

**Related AQTF Standards**

AQTF Standard 1.1, 2.2, & 2.6 and Condition of Registration 1 & 3

**Definitions***Issue (Informal Complaint):*

An expression of dissatisfaction with a process, decision or provision of service at BECS, which is made verbally, by telephone or email.

*Formal Complaint:*

An expression of dissatisfaction with a process, decision or provision of service at BECS, which is made in writing using the official Formal Student Complaint Form

*Complainant:*

The student making the complaint. This can be a past (formerly enrolled), present (currently enrolled) or prospective (wanting or attempting to enrol) student providing the complaint is made within a reasonable time frame from when the instigating event/issue occurred.

*Respondent(s):*

Person/s about whom the complaint is lodged



*Appeal:*

For the purposes of BECS Student Complaint and Appeals policy and procedure, an appeal is a formal appeal against the decision provided in writing to the complainant resulting from a formally lodged complaint

*Appellant:*

The student appealing the decision of their initial formal complaint

*Independent Person:*

A person who is impartial and has no conflict of interest regarding the parties involved, or the matter under investigation. This person will be external to the operations of the RTO and may be external to the company.

## **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, BECS is required to have appropriate processes and procedures in place for dealing with appeals against assessment outcomes.

## **2. Principles:**

2.1. The following principles underpin this policy

- 2.1.1. BECS ensures that students have access to a fair and equitable process for appeals against assessment decisions, which affects the participant's progress. An appeals and reassessment process is an integral part of all training and assessment pathways leading to a nationally recognised qualification or Statement of Attainment under the Australian Qualifications Framework (AQF), in accordance with the Australian Quality Training Framework (AQTF).
- 2.1.2. Participants have the right to lodge an appeal against an assessment decision if they feel they were unfairly treated or dealt with during an assessment and where they feel the assessment decision is incorrect and they have grounds for an appeal.
- 2.1.3. Every appeal will be heard by a suitably qualified independent assessor or panel from another Organisation, who will be asked to make an independent assessment.
- 2.1.4. BECS charges a fee for the appeals process.
- 2.1.5. Every effort is made by BECS to ensure the appeal is resolved in a timely manner.
- 2.1.6. All appeals will be treated with confidentiality and will in no way be detrimental to the appellant.
- 2.1.7. All appeals must be lodged within 14 days of the date of the assessment result notification to the student.

### **2.2. Grounds of appeal**

Valid grounds for an appeal against an assessment decision (where the student feels the assessment decision is incorrect) could include the following:

- 2.2.1. The judgment as to whether competency has been achieved and demonstrated was made incorrectly,
- 2.2.2. The judgment was not made in accordance with the Assessment Plan.
- 2.2.3. Alleged bias of the assessor;
- 2.2.4. Alleged lack of competence of the assessor;



- 2.2.5. Alleged wrong information from the assessor regarding the assessment process;
- 2.2.6. Alleged inappropriate assessment process for the particular competency;
- 2.2.7. Faulty or inappropriate equipment;
- 2.2.8. Inappropriate conditions.

### 2.3. Appeal Outcomes

Appeal outcomes may include:

- 2.3.1. Appeal is upheld; in this event the following options will be available
  - 2.3.1.1. The original assessment shall be re-appraised
  - 2.3.1.2. A new assessment shall be conducted
  - 2.3.1.3. Appeal is rejected

## 3. Supporting Documentation

BECS documentation which supports the implementation of this Policy includes:

- 3.1. F03-01 Appeals Lodgement form
- 3.2. F03-02 Appeals Progress form
- 3.3. F03-03 Response Sample Letter – Appeal Denied
- 3.4. F03-04 Appeals Register Spreadsheet

## Procedure

### Preliminary Action

1. If the student is unhappy with the assessment decision they should first seek to discuss with decision and options with the Managing Director of BECS to determine and fully understand the reasons for the decision.
2. The Managing Director of BECS will discuss with the student, specific feedback on their performance, identify areas of improvement, and provide options to students such as further training and/or assessment.
3. The Managing Director of BECS must advise students of their right to appeal the decision referring them to the Appeals policy.

### **STEP 1**

#### **Lodgment of Appeal**

1. The student may lodge an appeal in writing using the ‘**F03-01 Appeals Lodgement Form**’. This form must be submitted within 14 days of the date of assessment result notification.
2. The Appeals lodgment form must clearly state the grounds for appeal and should include sufficient evidence to support the claim.
3. On receipt of the appeals application, the Managing Director of BECS will acknowledge receipt of the claim, in writing, to the appellant within two working days; this may be via email, letter or fax.
4. The Managing Director of BECS will update the ‘Appeals Register/Record’
5. The Managing Director of BECS will make a note on the student’s student file regarding the Appeals application.
6. The Managing Director of BECS will commence an Appeals file, which will remain in place until the appeal is resolved. After which time all appeal documentation will be placed on the student file.



## **STEP 2**

### **Processing of the Appeal**

1. The Managing Director of BECS will nominate, within five working days, an independent assessor or panel to review the appeal and make a determination.
2. The appellant is advised in writing of the name of the independent Assessor or panel.
3. The appeals claim is reviewed and investigated by the independent assessor/panel which may include:
  - 3.1. A review of the application form and supporting evidence
  - 3.2. A review of all assessment documentation and process
  - 3.3. An interview with the student to allow them the opportunity to formally state their claim
  - 3.4. An interview with the Managing Director of BECS.
4. The independent assessor /panel will determine the appeal outcome, and provide an explanation to justify their decision.
5. The independent assessor /panel will advise the Managing Director of BECS and the appellant of the appeals outcome, in writing, within 10 working days.
6. The Managing Director of BECS will record the appeals outcome on the Appeals register and place the written notification on the appeals file.
  - 6.1. If the appeal is upheld, and BECS is satisfied with the outcome, the Managing Director of BECS will finalize the appeals documentation, place all documentation on the student's file, update the appeals register and progress documentation for the issuance of a Statement of Attainment or qualifications, as appropriate.
  - 6.2. The appeals file is closed, with all documentation being placed on the student file.
  - 6.3. If the appeal is upheld and BECS is not satisfied with the outcome, the Managing Director of BECS will file a complaint with the Tasmanian Qualification Authorities (TQA), as per TQA procedures. (See step five)  
\*\* For full details of the TQA process for complaints resolution see the TQA website: [www.tqa.tas.gov.au](http://www.tqa.tas.gov.au)
  - 6.4. If reassessment is recommended, progress to step three.
7. If the appeal is rejected, the Managing Director of BECS will notify the appellant in writing of their right to further progress the appeal to the Tasmanian Qualification Authorities (See step five)
8. The Managing Director of BECS will ensure that the subject, policy and procedures relating to any substantiated Appeal is reviewed and progressed through continuous improvement processes, as appropriate.

## **STEP 3**

### **Reassessment**

1. The Managing Director of BECS will arrange for the appellant to be reassessed and inform the appellant of the details regarding the re-assessment, in writing, in accordance with BECS's assessment processes.
2. The Managing Director of BECS will place a copy of the re-assessment correspondence on the appeals file.
3. An independent assessor will conduct the re-assessment, where possible.
4. The appellant may refuse to be reassessed, in which case progress of the appeal to the Tasmanian Qualification Authorities is up to the appellant.
5. If the re-assessment is to be conducted, the appellant has the option to nominate an independent observer.
6. The independent assessor will determine the assessment outcome against the competencies.



7. The assessor will complete an assessment checklist and all relevant assessment documentation, (in accordance with the Assessment policy) notifying the appellant and the Managing Director of BECS of the outcome, in writing.
8. If the appellant is dissatisfied with the result or the process of the appeal, the appellant may lodge a complaint with the Tasmanian Qualification Authorities, in writing. (See step five)

#### **STEP 4**

##### **Finalisation of appeal**

1. If the appellant is satisfied with the outcome of the appeal, the Managing Director of BECS will finalise the appeal by:
  - 1.1. Completing all appeals documentation;
  - 1.2. Closing the appeals file and placing appeals documentation on the student file;
  - 1.3. Update the appeals register.

#### **STEP 5**

##### **Referral to BECS partner RTO and or Tasmanian Qualification Authorities (TQA)**

1. BECS partner RTO and/or the TQA will review, investigate and mediate the complaint with all relevant parties and make a ruling.
2. BECS will abide by any resolutions as recommended by BECS partner RTO and/or the TQA.

\*\* For full details of the TQA process for complaints resolution see the TQA website:  
[www.tqa.tas.gov.au](http://www.tqa.tas.gov.au)

#### **Policy Statement**

BECS is committed to providing a learning environment which is free from safety and health hazards. BECS is committed to:

- providing employees, student and contractors a safe and health learning environment.
- Providing a safe and healthy work place to allow all our employees to perform their tasks to their maximum potential safely and efficiently
- Complying with all relevant laws, regulations and standards

#### **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF 2007). As such, BECS is required to comply with relevant State and Territory laws including the Occupational Safety and Health Act 1984 and Occupational Safety and Health Regulations 1996). BECS is committed to providing the best practice, professional products and services to its clients and acknowledges it can only succeed in this with effective and efficient quality processes

#### **2. Policy Principles:**

##### **All management in all areas of the business shall:**

- 2.1. Plan, implement and monitor a comprehensive OSH program to meet our duty of care and ensure continual improvement.
- 2.2. Promote a culture of communication and involvement in OSH as a normal component of all aspects of our work

- 2.3. BECS is bound by OSH ACT 1984 & OSH Regulations 1996.
- 2.4. OSH compliance is the responsibility of all parties.

### **DUTY OF CARE**

- 2.5. The Employer has a duty so far as is practicable, to provide and maintain a working environment in which employees are not exposed to hazards or health risks.
- 2.6. Employees/Participants/trainers and assessors shall take reasonable care to ensure their own safety and health in the workplace and to avoid adversely affecting the safety and health of any other person through any act or omission at work

### **3. Supporting Documentation**

BECS documentation which supports the implementation of this Policy includes:

- 3.1. F27-01 Near miss form
- 3.2. F27-02 First Aid Incident form
- 3.3. Accident incidents file

The relevant act in Victoria is the Occupational Health and Safety Act 1985.

## **Procedure**

### **STEP 1**

#### **Training**

All staff are required to participate in emergency training

### **STEP 2**

#### **First Aid**

1. Reporting - All accidents and incidents must be reported to Managing Director of BECS.
2. Assistance - In cases of minor injury first aid assistance will be provided and recorded.
3. Investigation and Evaluation - Investigate and evaluate incident to take corrective action.

Privacy Policy & Procedure

POL30

### **Policy Statement**

BECS is committed to complying with obligation under Privacy Act 1988 and the associated national Privacy Principles (NPPs).

Furthermore, BECS is committed to safeguarding any confidential information obtained by BECS.

In doing so, BECS will ensure:

- information gathered for the express purpose of training and assessment matters will not be disclosed to a third party unless prior written consent is provided by the individual concerned, except that required by law;
- the secure storage of all records;
- the confidentiality of all information maintained on records.



## **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF) Standards. As such, BECS is required to have effective administrative and records management procedures in place ensuring the privacy and confidentiality of all students, staff and contractors.

## **2. Policy Principles:**

2.1. The **National Privacy Principles** (NPPs) relate to:

### **2.1. The collection of information**

BECS will collect personal information only for the purpose of carrying out its role in providing Training and assessment and professional development to its clients. Collection of personal information must be fair, lawful and unobtrusive. BECS will take all reasonable steps to inform students of:

- 2.1.1. The purpose for which the information was collected
- 2.1.2. Any law that required the information to be collected.

### **2.2. The use and disclosure of information**

BECS may only use or disclose the information for the purpose it was collected (primary purpose) unless the person has consented. Marketing material should advise that the person may request not to receive the material and it should set out the contact details of the firm. Personal information may be disclosed when it is necessary to assist an enforcement body to perform its function of to prevent a threat to life and ensure health and safety.

### **2.3. Data quality**

BECS must take reasonable steps to make sure that the personal information it collects uses or discloses is accurate, complete and up-to-date.

### **2.4. Data security**

BECS must take reasonable steps to protect the personal information it holds from misuse and loss and from unauthorised access, modification or disclosure. BECS will ensure that all computer systems are password protected and paper files stored in locked filing cabinets with only authorised staff granted access. Breaches of this principal by BECS staff will instigate disciplinary action.

### **2.5. Openness**

BECS must have a policy document outlining its information handling practice and this document will be made available to any member or the public upon request. BECS will also enable access to this policy via its internet site.

### **2.6. Access and correction**

BECS must give an individual access to personal information it holds about that individual on written request. Exceptions apply, such as where this would pose a serious threat to life or health, it is vexatious, it impacts on another person's privacy, there are legal proceedings, or it is prejudicial to the police investigation, etc. Reasonable steps must be taken to correct information.

### 2.7. Identifiers

BECS will not use an identifier that has been assigned by a Commonwealth government 'agency', for example, social security numbers for the purposes of identifying clients.

### 2.8. Anonymity

BECS will where practicable and lawful give people the option to interact anonymously. Where personal identity can be protected without adverse consequences, BECS will depersonalise the data before disclosure or use.

### 2.9. Trans-border data flow

BECS can only transfer personal information to a recipient in a foreign country in circumstances where the information will have appropriate protection such as similar privacy legislation, or with consent.

### 2.10. Sensitive information

BECS will not collect sensitive information unless the person has consented, or it is required by law or in special circumstances, for example, to a health services or for public health or safety.

2.10.1. BECS is bound by the NPPs. However, some exemptions are contained within the NPPs with respect to matters such as the disclosure of information relating to public health or public safety, the disclosure of information with respect to law enforcement enquiries and the disclosure of particular information relating to legal proceedings and negotiations.

### 2.11. The kind of personal information held by BECS includes the following:

- 1.11.1. Personal information collected in connection with BECS members at the time that applications for membership are made and as later required as part of the delivery of training and assessment services by BECS to those members;
- 1.11.2. Information collected from members of the public in connection with training and assessment services relating to real estate matters;
- 1.11.3. Information obtained by BECS through the internet site.

### 2.12. BECS holds the information referred to above for the primary purpose of enabling it to conduct the services that it provides to its members and the public.

### 2.13. Information collected

- 2.13.1. Collection of information is fair, lawful, unobtrusive and necessary for the Organisation functions. BECS advises clients, staff and trainers of the purpose for collecting information, how it is used and how they can gain access to their personal information held by BECS.
- 2.13.2. Information is collected from potential students upon initial enquiry in order to send out course information.
- 2.13.3. Information may be collected from students for enrolment purposes. Assessment records are kept as required by the Australian Quality Training Framework (AQTF) and the Tasmanian Qualification Authority (TQA). Information is also collected during the provision of

training and assessment services. This is for the purpose of processing your registration for a BECS course and as required by the Australian Quality Training Framework (AQTF), the Tasmanian Qualification Authority (TQA) and the Office of Training Tasmania.

- 2.13.4. BECS may conduct student surveys to collect information on the training provided.
- 2.13.5. Personal and professional information is collected from staff and trainers to enable BECS to assess the professional standards of staff and trainers.

**2.14. Confidentiality**

- 2.14.1. BECS is bound by the Privacy Act 1988 and the Privacy Amendment (Private Sector) Act 2000 and has developed BECS Privacy Policy.
- 2.14.2. BECS will ensure the safeguarding of any confidential information obtained regarding participants.

**2.15. Disclosure of Information**

- 2.15.1. BECS will ensure that participants have access to their personal records and will disclose information relating to the individual participant on request by that individual, to that individual. Exceptions apply where: this would pose a serious threat to life or health, it is vexatious, it impacts on another person's privacy, there are legal proceedings, or it is prejudicial to a police investigation, etc.
- 2.15.2. BECS will not disclose information about a participant to a third party without prior written consent of the participant.
- 2.15.3. BECS will only disclose personal information to other parties, only where it is required to do so by law or other requirements, such as where it relates to law enforcement, health and safety or vocational education and training reporting in compliance with the AQTF such as the Tasmanian Qualification Authority (TQA), or as otherwise allowed under the Privacy Act 1988.

**2.16. BECS Privacy Policy**

- 2.16.1. BECS is bound by the Privacy Act 1988 and the Privacy Amendment (Private Sector) Act 2000 and has developed BECS Privacy Policy.
- 2.16.2. BECS respects clients, staff and trainers right to privacy.
- 2.16.3. BECS has procedures in place to ensure the integrity, currency, accuracy and completeness of information.
- 2.16.4. BECS has procedures in place to protect personal information from misuse, loss or unauthorised access, modification or disclosure.
- 2.16.5. BECS's privacy policy may be revised from time to time, in accordance with the Privacy Act 1988.

**2.17. Use of Participant information**

- 2.17.1 BECS will provide participant information to training staff or consultants on a need-to-know basis only.



- 2.17.2 BECS only uses information collected for the expressed purpose for which it was collected, unless prior consent is obtained from the person.
- 2.17.3 BECS does not use personal details (specifically photographs or names) in direct marketing without obtaining prior expressed permission from the person concerned.
- 2.17.4 BECS may use personal details to advise students of forthcoming events and training courses, for direct marketing and research purposes, however only where individuals have provided their consent to receiving such information.

### 3. Supporting Documentation

BECS documentation which supports the implementation of this Policy includes:

- 3.1.F30-01 Consent to BECS to Release Information
- 3.2.F30-02 Consent Form
- 3.3.Privacy Act approvals file

## Procedures

### Step 1

#### Obtaining own personnel information

- 1. Should a person wish to gain access to their own information or records, confirmation of identity is first sought.

### Step 2

#### Obtaining other persons information or records

- 1. Should a person wish to gain access to another person personal records, such as assessment result, BECS must first seek written permission from the individual concerned.

## Refund Policy & Procedure

POL32

### Policy

BECS is committed to ensuring fair and reasonable refund practices are in place.

In accordance with the requirements of the Australian Quality Training Framework (AQTF 2007), BECS will:

- implement and maintain procedures for fair and reasonable refund of fees paid; and
- refund fees and charges paid by individuals / clients, where training and assessment activities have not been delivered.

#### 1. Introduction

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF 2007). As such, BECS is required to have a fair and reasonable refund policy in place.

#### 2. Principles:

The following principles underpin this policy:



- 2.1. BECS will strive to maintain its highly competitive fee structure, as well as its fair and equitable refund policy.
- 2.2. BECS refund policy is that as our courses are self-directed and self paced, once a trainee has received the course resource materials the course has commenced, and once the trainee has commenced their training or assessment there is no refund of the course, training or assessment fees.
- 2.3. Fees are refunded in full, less \$300.00 administration fees, where the trainee submits in writing good reason for withdrawal, within fourteen (14) calendar days from the date of enrolment into a course or assessment.
- 2.4. There is no refund for recognition of prior learning (RPL) assessments after enrolment.
- 2.5. There is no refund to participants who do not obtain their qualification after assessment.
- 2.6. BECS does not accept liability for loss or damage suffered in the event of withdrawal to a course by a student.
- 2.7. BECS provides full refund to all students, should there be a need for BECS to cancel a course, or provide an opportunity for the student to attend another scheduled course (in the case of the workshop delivery mode).
- 2.8. BECS will firstly encourage a student to enroll on another workshop course date, prior to processing refund applications.
- 2.9. The Managing Director of BECS is the person who has defined responsibility and authority to:
  - Ensure that BECS complies with its financial management policies;
  - Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement; and
- 2.10. Where a student withdraws from a training program, they must provide written notification of their intention to withdraw and apply for a refund for the course. This may be via letter, email or the completion of BECS refund form.
- 2.11. If BECS cancels a course, students do not have to apply for a refund, BECS will process the refunds automatically.
- 2.12. Refunds for cancellation of enrolments are granted on the basis of fourteen (14) calendar days cooling period as once a trainee has received the course resource materials the course has commenced, and once the trainee has commenced their training or assessment there is no refund of the course, training or assessment fees.
- 2.13. Payment of all refunds is made within one week (seven days).
- 2.14. Refunds for enrolments on individual courses will be calculated in as shown in the following table:

Reason for Refund	Notification requirements	Refund
Participant withdraws	In writing, fourteen (14) calendar days prior to the date of course commencement.	100% of course cost less registration and/or enrolment fees at the time
Participant withdraws	In writing, at the or after the date of course commencement.	Nil Refund
Participant withdrawn from the course by BECS	After course commencement, due to inappropriate behaviour	Nil Refund
Course cancelled by BECS		Full Refund



### 3. Support and Documentation

BECS documentation which supports the implementation of this Policy includes:

- 3.1. F32-01 Refund Application Form
- 3.2. F32-02 Response Letter – Application. Course Refund

#### **NOTE:**

*Participants may choose to postpone the start of their course or the completion of their course (where applicable); this will need to be negotiated with BECS to help us accommodate your needs.*

*The final decision to transfer into another course rests with BECS as it will be dependent on numbers and starting dates; however, all attempts will be made to meet your needs.*

*Where the Refund Policy applies, it applies to the amount actually paid for the course, which may be less than the full course fee if the participant has been offered a concession rate or is using a payment plan.*

#### **Procedure**

##### **STEP 1**

##### **Application for refund**

1. Student provides written notification of their withdrawal from a course, requesting a refund of fees paid.

##### **STEP 2**

##### **Processing of Refund**

1. The Managing Director of BECS will review the refund application and ensure that the student is eligible for a refund.
2. If a refund is due, the Managing Director of BECS will calculate the amount of refund due to the student.
3. The Managing Director of BECS will check student records to identify how the money was paid (i.e. cash, cheque, company or credit card) and who paid the money (i.e. the student or company).
4. Regardless on how the money was paid, the Managing Director of BECS will issue a cheque.
5. If the money was originally paid by the student, the Managing Director of BECS will provide a cheque for the refund to the student.
6. If the money was originally paid by a company, the Managing Director of BECS will provide a cheque for the refund to the company.

#### **REFUNDS – CANCELLED COURSE**

##### **STEP 1**

##### **Processing Cancelled Course Refunds**

1. Should a BECS course need to be cancelled for any reason, the Managing Director of BECS will identify all those persons who have paid RPL course fees for that particular course.



2. The Managing Director of BECS will determine the full amount of refund due to the students.
3. The Managing Director of BECS will check to identify how the money was originally paid (i.e. cash, cheque, company or credit card) and who paid the money (i.e. the student or company).
4. Regardless on how the money was paid, the Managing Director of BECS will issue a cheque.
5. If the money was originally paid by the student, the Managing Director of BECS will provide a cheque for the refund to the student.
6. If the money was originally paid by a company, the Managing Director of BECS will provide a cheque for the refund to the company.

### Recognition of Prior Learning (RPL) & Mutual Recognition (MR)

#### A - Recognition of Prior Learning (RPL) Policy and Procedure

POL34

#### **Policy Statement**

BECS is committed to providing fair and equitable processes for Recognition of Prior Learning options to all students or potential students.

BECS will ensure that:

- it implements and maintains policies and procedures for Recognition of Prior Learning;
- that Recognition of Prior Learning is offered to all students on enrolment and that Recognition of Prior Learning processes are structured to minimize the time and cost to applicants;
- it provides adequate information and support to applicants to gather reliable evidence to support their claim, and all Recognition of Prior Learning applicants are processed in accordance with the Assessment Policy.
- all Recognition of Prior Learning applicants are processed in accordance with the Assessment Policy.

#### **Related AQTF Standards**

Element 1.5, 2.4, 2.5 Conditions of Registration 7

#### **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF 2007). As such, BECS is required to offer all students on enrolment the option of Recognition for prior learning processes. BECS is committed to providing the best practice, professional products and services to its clients and acknowledges it can only succeed in this with effective and efficient quality processes.

Recognition for prior learning is an essential component of competency based training. It focuses on recognising the previous training and or experience of people against the current competency standards of a course that BECS is registered to deliver.

#### **2. Policy Principles:**

##### **2.1. Principles**

2.1.1.RPL is an alternative pathway to a qualification and/or Statement of Attainment.



- 2.1.2.RPL processes shall be valid, reliable, flexible and fair.
- 2.1.3.BECS's RPL process is in accordance with, and meets the quality standards specified in the 'Skills Recognition Framework for Vocational Education and Training.
- 2.1.4.All students may apply for formal recognition of existing competencies against a course that BECS is registered to deliver.
- 2.1.5.RPL is made available to any person commencing a course with BECS
- 2.1.6.The onus is upon the candidate to demonstrate competence to the satisfaction of the assessors.
- 2.1.7.Competency may be derived from many sources:
  - o Work experiences
  - o Life experience
  - o Training programs offered by industry, private or community based providers which may or may not have been formally recognised
  - o Training programs undertaken overseas (which may or may not be accredited in that country)
  - o Informal learning programs
- 2.1.8.If a student has undertaken other training which they believe covers one or more of the units/s comprising the relevant course and /or has developed skills, knowledge and competence through workplace experience, the candidate may wish to apply to BECS for RPL for those units/ modules.
- 2.1.9.The cost of RPL application is the same as the normal course fee.
- 2.1.10. The minimum acceptable claim for RPL is a Unit of competency.

### **3. Supporting Documentation**

BECS documentation which supports the implementation of this Policy includes:

- 3.1. F34-01 RPL application
- 3.2. F34-02 RPL Inquiry Information
- 3.3. F34-03 RPL Kit Self-ass Tools Template
- 3.4. F34-04 RPL Kit Tools Template
- 3.5. F34-05 RPL Tools UOC Template
- 3.6. F34-06 RPL Student Progress
- 3.7. F34-07 RPL Competency Summary
- 3.8. RPL Register /Spreadsheet

## **Procedure**

### **STEP 1**

#### **RPL Resources developed**

1. The Managing Director of BECS is responsible for ensuring that resources for training courses, including **RPL**, are in compliance with the requirements of the Training Package/s.

### **STEP 2**

#### **Provision of notification to students regarding RPL**

2. Prior to enrolment on a course, each potential student is provided with course information, including information relating to RPL availability and processes: Entry criteria, Self assessment, and application.



### STEP 3

#### Initial enquiry, induction and Applicant

3. A student makes an enquiry regarding RPL.
4. BECS will induct the individual (email/phone/face-to-face), and provide information. This includes:
  - a. Satisfy the course entry requirements
  - b. Candidate reviews the RPL Self-Assessment Kit
  - c. Candidate complete the Self-Assessment Questions
  - d. Candidate makes a decision as to whether or not he/she is eligible to enroll into some/all of the units or if they need to have further training in part/all of the accredited course.
  - e. Candidate books interview/ competency conversation with BECS and discusses his/her decision for options available and further progression.
  - f. If BECS accepts candidate's decision, the candidate may enroll and apply for some/all units of the qualification.
  - g. BECS accept candidates enrolment and candidate and assessor book the ppractical demonstration /observation of candidate's skills
  - h. The assessor ma require provision of further supporting evidence
  - i. The assessor makes judgment
  - j. The assessor informs candidate of assessment result
  - k. The candidate is informed of complaints/appeal processes
5. The student is supplied with the relevant RPL documentation; this includes sending the RPL Self-Assessment Kit to assist candidate in the self assessment process. The RPL Self-Assessment Kit can also be downloaded from BECS website [www.becsonline.com.au](http://www.becsonline.com.au)

### STEP 4

#### Candidate's Self-Evaluation

6. Candidate completes self-evaluation forms kit provided and gathers a portfolio of evidence against the elements/performance criteria for the relevant unit/s of competency.
  - 6.1. A portfolio of evidence may include:
    - 6.1.1. The candidates curriculum vitae
    - 6.1.2. Certificates of qualifications and /or courses completed together with course outlines, trainer details, assessment details, samples of assignment work
    - 6.1.3. Testimonials and /or client satisfaction survey
    - 6.1.4. Video evidence
    - 6.1.5. Workplace documentation (evidence of relevant work) or projects or reports
    - 6.1.6. Supervisor and/or peer reports
    - 6.1.7. Records of work
7. Candidate supplies the contact details of work referees who can confirm candidate skills in counselling supervision
8. Candidate makes a decision whether or not the candidate wants to continue with the RPL process,
9. If the candidate wants to continue, candidate makes an appointment for an interview/competency conversation and sends in the RPL application form to BECS

together with the required evidence as guided by the RPL self evaluation kit, and associated application fees. It is possible to gain RPL for the entire qualification.

10. The student will be charged a fee for the interview on a 60-90min basis

## **STEP 5**

### **The Interview / Competency conversation**

11. Candidate books interview with BECS and discusses his/her decision for options available and further progression.
12. BECS provides candidate with further information to options available and further progression during the interview/competency conversation
13. During the interview/competency conversation:
14. The assessor will review – usually with the candidate – the information and supporting documentation the candidate has provided and match up candidate’s skills to the units/subjects in the qualification
15. The assessor will discuss with candidate his/her self-evaluation and any evidence the candidate provided. It is at this point that the candidate will be able to identify any previous work experience and discuss this with Assessor.
16. The candidate will be required to answer questions relating to his/her work experience in counselling supervision. This questioning forms part of the assessment, as it will identify candidate’s current knowledge and skills relating to counselling supervision
17. A decision will be made whether candidate is able to proceed to the next step of the RPL process or whether candidate needs to undergo gap training

## **STEP 6**

### **Practical demonstration /observation of candidate’s skills**

18. Assessors observe and assess candidates performance in practice, through the observation of practical tasks performed either in the workplace or simulated workplace environment.
19. The assessment will focus on the skills required of the (69795) Vocational Graduate Diploma in Counselling Supervision. The Assessor will identify the skills they want the candidate to demonstrate by asking candidate to complete certain tasks.

## **STEP 7**

### **Provision of further supporting evidence**

20. Candidate provides further documentary evidence to support his/her competency profile as demonstrated in the prior stages of assessment.
21. The types of documentary evidence that may be provided to further support candidate’s claim to competency are listed at the preparatory stage above, for instance, third-party verification reports, job logs, or video tapes of supervision sessions undertaken.
22. The Assessor will confirm candidate’s previous work experience in counselling supervision with candidate’s supervisor/ employer.
23. The assessor will contact the referees candidate has provided as part of candidate’s information.

## **STEP 8**

### **Assessment Stage**

24. The assessor will assess the information provided by the student and makes assessment decision as to whether RPL will be granted.

- a. The portfolio of evidence will be assessed by a qualified assessor with expertise in the subject area
- b. All evidence will be judged against whether it meets all:
  - i. performance criteria;
  - ii. the rules of evidence;
  - iii. the principles of assessment;
  - iv. the dimensions of competency; and
  - v. the key competencies

## **STEP 9**

### **Post Assessment Guidance Stage**

25. The student will be advised within two weeks of the interview, as to the result of the RPL application.
26. If the application is unsuccessful, the student will be advised of the areas in which they need to develop further competence. This may include:
  - a. The scheduling of another meeting for the presentation and assessment of further evidence; or
  - b. The student opting not to continue with the RPL process; or
  - c. The student lodging an appeal against the assessment decision.
27. This stage will also allow feedback on the RPL process so it can be continually fine-tuned to be both effective and cost efficient.

## **STEP 10**

### **Assessment Evaluation**

28. The student is asked to complete an evaluation form, providing feedback on the RPL process, tools, and judgments.
29. See Evaluation and Feedback policy and procedures.

## **STEP 11**

### **Issuing of Certification Documents**

30. The results will be maintained on the student file and electronic records.
31. See Issuing Certification procedures.

## **STEP 12**

### **Appeals**

32. Should the student be dissatisfied with any part of the assessment process they have the right to appeal the decision.
33. Refer to the Appeals Policy and Procedures.

## **STEP 13**

### **Record-keeping**

34. BECS maintains a record keeping system for information on assessment outcomes on the student management system and forwards copies to Partner RTO.

<b>B – Mutual Recognition Policy and Procedure</b>	<b>POL26</b>
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### **Policy Statement**

BECS is committed to recognising the AQF qualifications and Statements of Attainment issued by other RTO's. As such, BECS will:

- implement and maintain written procedures to recognize AQF qualifications and Statements of Attainment issued by any other RTO; and
- provide information regarding its mutual recognition obligations in all relevant documentation to clients, contractors and staff

### **Related AQTF Standards**

Standard 2.4

Conditions of Registration 7

#### **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As a partner to RTO, BECS is required to have appropriate processes and procedures in place for the mutual recognition of AQF qualifications and Statements of Attainment issued by any other RTOs throughout Australia.

#### **2. Policy Principles:**

- 2.1. Mutual recognition comes into affect when a Statement of Attainment provided by a student (for that student) has the same national competency codes as those that form part of the training and assessment program within which the student is enrolled or is intending to enroll and satisfies the course outcomes.
- 2.2. All persons who have successfully obtained competency in unit(s) of competency or qualification within a training package from a Registered Training Organisation (RTO) are entitled to gain mutual recognition by any other RTO for those competencies.
- 2.3. Information on mutual recognition is provided to students prior to enrolment.
- 2.4. Evidence relating to certificates and /or Statements of Attainments must be presented as either original copies or certified copies. Certified copies need to be appropriately signed by either a Justice of the Peace, or Commissioner of Declarations or the Managing Director of BECS. Original certificates will be returned to the applicant.
- 2.5. BECS recognises the AQF qualifications and Statements of Attainment awarded by any other RTO

#### **3. Supporting Documentation**

BECS documentation which supports the implementation of this Policy includes:

- 3.1. F26-01 Mutual Recognition Application form
- 3.2. F26-02 Mutual Recognition qualification checklist
- 3.3. F26-03 MR/CT Register

<b>Procedure</b>
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### **STEP 1**

#### **Student enquiry regarding Mutual Recognition**



1. BECS recognises the AQF qualifications and Statements of Attainment awarded by any other RTO
2. Prior to enrolment BECS provides each potential student with information regarding Mutual Recognition. This is via the website, Student Handbook, RPL Self-assessment Kit and /or course brochures.
3. Students seeking; mutual recognition for a BECS course which contains units of competency contained in the relevant Training Package and within the relevant course, need to complete a Mutual recognition application form.
4. The Managing Director of BECS will provide the student with a 'F26-01 Mutual Recognition Application Form'.

## **STEP 2**

### **Student completes and submits mutual recognition application**

1. Student completes the Mutual Recognition Application Form and submits to the Managing Director of BECS, with evidence of certification for units of competency that they are claiming in their application. Evidence of certification must be either the original copy of the certificate or Statement of Attainment received by the applicant, or a certified true copy of the original.

## **STEP 3**

### **Mutual Recognition application processed**

1. The Managing Director of BECS processes the MR application, completing a 'F26-02 Mutual Recognition qualification Checklist'. This will verify authenticity, completeness and compliance with the 'Australian Qualifications Framework (AQF) Implementation Handbook', and the AQTF standards.
2. If the original credentials are incomplete or not compliant with the current 'AQF Implementation Handbook', and the AQTF standards, the client is notified verbally to this effect and advised to request the additional information and/or an amended credential from the issuing RTO.
3. If the credentials are not relating exactly to the same unit codes and names as those in BECS course, the student is advised of the Recognition of Prior Learning process.
4. If the authenticity of the credential is questionable, the client is requested to provide further verification from the issuing RTO or the Managing Director of BECS will contact the issuing RTO.
5. The Managing Director of BECS will register the MR application on the MR register.

## **STEP 4**

### **Student mutual recognition application accepted**

1. If satisfied the original certification is authentic and meets the requirements of the current 'AQF Implementation Handbook', and the AQTF standards, the Managing Director of BECS formally recognises the 'Statements of Attainment' and/or 'qualification' by completing the relevant section on the application form.
2. The original credentials are then photocopied and endorsed with the words 'original sighted', are signed and dated by the Managing Director of BECS.
3. The relevant details of the issuing RTOs 'Statement of attainment' and/or 'qualification' are recorded on the student management system and the certified copies of the credentials and completed Mutual recognition documentation are filed on the individual's student file.



4. The student is advised in writing of the success of their mutual recognition application with original credentials being sent back to the student.

### **Policy Statement**

BECS is committed to maintaining effective and efficient administrative and records management processes for training and assessment activities in accordance with legislative and regulatory requirements.

BECS will:

- implement and maintain effective administrative and records management procedures consistently to assure the integrity, accuracy and currency of all records in accordance with the requirements of the AQTF;
- ensure that all training and assessment records are stored securely, including backup of electronic records, and copies sent to partner RTO who will ensure student records are retained, archived and able to be retrieved for a period of 30 years;
- ensure the safeguarding of any confidential information;
- ensure that clients have full access to their personal records;
- ensure it complies with all external reporting requirements;
- ensure that except as required under the Standards for RTO's or by law, that information about a client is not disclosed to a third party without prior written consent; and
- ensure all other records consistent with the contractual and legal requirements are retained, archived and able to be retrieved in accordance with these contractual and legal requirements.

BECS will maintain up-to-date records of the verified qualifications and experience of all staff and persons working on behalf of BECS as trainers and assessors (including those operating under a partnership arrangement), of enrollments and participation, and of fees paid and refunds given and copies sent to partner RTO.

### **Related AQTF Standards**

Standard 3.3,

Condition s of Registration 2 & 6

### **Definitions**

#### *Current files*

Files for which the training and/or assessment service is still being delivered

#### *Completed files*

Files for which no further training or assessment services are to be provided to an individual under a service contract or funding agreement

#### *Individual student files*

Include but not limited to, the enrolment form, copy of any training agreement or contract, signed training plan, workshop attendance record, record of contacts, assessment records, training materials, copies of certificates/statements of attainment issued, any notes made by the trainer/assessor about the student/trainee.



### *Archived files*

Include, but not limited to, the enrolment form, copies of certificates/statements of attainment issued, assessment records, workshop attendance records and any notes made by the trainer/assessor about the student/trainee

## **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As a partner Organisation to an RTO, BECS is required to have written policies and procedures for effective administration and records management processes.

## **2. Policy Principles:**

- 2.1. BECS keeps complete and accurate records of the attendance and progress of participants, as well as financial records that reflect payments and charges and the balance due, and provides copies of these records to participants and partner RTO on request.
- 2.2. All training and assessment achievements are recorded.
- 2.3. Full security in accordance with AQTF Standards is provided for student records including assessment results and Statements of Attainment issued.
- 2.4. BECS provides for protection of electronic records by a backup process and storage off-site, along with computer system access being on an approval basis only, protected by the use of passwords.
- 2.5. All students who enroll are recorded both manually (in an individual student file) and electronically. Results of assessment are entered on both records.
- 2.6. Participation records are maintained for all students both manually (Course File) and electronically (both course and individual);
- 2.7. All client records are treated as confidential information and cannot be divulged to other parties without prior written permission of the student.
- 2.8. All client transactions including fees paid and refunds given are recorded immediately both electronically and manually.
- 2.9. A register of trainers and assessors is maintained and kept current, including their current competencies and qualifications in accordance with standard 7.
- 2.10. **Hard Copy Files** - Current student & course files are stored in a locked filing cabinet. These are kept on the business premises for 12 months.
- 2.11. **Archive Files** – Files older than 12 months are placed in secure archive boxes and stored off site with Recall.
- 2.12. **Computer Data** - Standard procedures are required to ensure the integrity and security of the data held on computers. Procedures include at least the following:
  - 2.12.1. established security access levels
  - 2.12.2. user identification and password codes
  - 2.12.3. cyclical changes to passwords
  - 2.12.4. established frequencies for the creation of backup disks or tapes, and storage off the premises
  - 2.12.5. provision of secure and fire-isolated storage for backup data
  - 2.12.6. prohibition on the use of unauthorised software packages
  - 2.12.7. established guidelines for the borrowing or personal use of PC's.

There are three different types of records that BECS will keep:

1. Audit Records
2. Appeals Records
3. Assessment records

The table below summarizes those requirements.

	<b>Record Category</b>	<b>Description of records to be kept</b>	<b>Period of Retention</b>
<b>A Summary of Types of Records BECS Will Keep</b>	Audit Records	<ul style="list-style-type: none"> <li>• Attendance rolls that show the names of students, the units of competency identifies and/or name, date/s of attendance and signature or initial of trainer</li> <li>• Records of assessment and/or training record books that show the date of assessment/s unit/s of competency, student name and outcome of assessment/s</li> <li>• Training delivery and assessment policies and strategies for all qualifications/ courses.</li> <li>• Assessment tools and instruments</li> <li>• Recognition of prior learning assessment records</li> <li>• All AQTF policies and procedures</li> <li>• All financial (including income and expenditure), enrolment and assessment records</li> </ul> <p>NB: there is no requirements to retain originals or copies of student work for auditing purposes, however it is recommended that some examples of student work are retained for moderation purposes.</p>	<b>Five years</b>
	Appeals records	<ul style="list-style-type: none"> <li>• Sufficient evidence of assessments may include the marking guide, criteria, training record book, and workplace evidence and/or observation checklist for each student. If it is possible to keep students completed assessment items, copies of these or other evidence such as a picture or the assessment piece – these items should also be kept to support the assessment decision.</li> </ul>	<b>Length of the appeals period</b>
	Records of Student results, Qualifications and Statements of Attainment issued	<ul style="list-style-type: none"> <li>• RTO name</li> <li>• RTO number (State/national)</li> <li>• Full Student name</li> <li>• Student date of birth and/or ID number</li> <li>• Qualification/s, course/s and unit/s of competency achieved including title and national code.</li> <li>• Date on which requirements for the qualification/s and unit/s of competency were achieved.</li> </ul>	<b>30 years</b>

### 3. Supporting Documentation

BECS documentation which supports the implementation of this Policy includes:

- 3.1. BECS Filing System
- 3.2. F02-01 Student Training Record
- 3.3. F02-02 Training Attendance Record (Workshop)
- 3.4. F02-03 Register of Documents

**Procedure** (Retention, Archiving & Retrieval of Records)

**STEP 1**

**Retention of data**

1. All student records will be complete and accurate and recorded manually and electronically, including (but not limited to) personal details, enrolment details, assessment results, fees paid in advance and refunds given. Further details regarding records management of fees, see 'Financial management policy.' Further details regarding records for refunds see Refunds policy.
2. Student training and assessment records will be recorded manually and electronically.
3. All manual student records will be kept in accordance with Enrolments policy. These records will be kept on-site for 12 months, filed in a filing cabinet in a secure room.
4. Student electronic records will be entered into the student management system, backed-up and stored off site.
5. Trainer /Assessor records will be maintained in an up to date manner.

**STEP 2**

**Confidentiality**

1. All records will be kept confidential (See Privacy Policy) and cannot be divulged to other parties without the prior written permission of the individual.

**STEP 3**

**Access**

1. Individual students will be provided access to all of their records.

**STEP 4**

**Archiving**

1. Student records will be archived both electronically and manually and kept for 30 years.
2. Other records will be kept as per statutory requirements.
3. Aged documents will be archived using the following procedures:
  - a. Files older than 12 months are placed in secure archive boxes and stored off site with Recall
4. Records will be packed in archive boxes and categorised by date

**Policy Statement**

BECS is committed to equal opportunities principles and has a responsibility to create a learning environment free from discrimination.

BECS aims to provide equal opportunity for all employees, contractors and students and ensure that its policies and practices are free from direct or indirect discrimination regardless of gender, pregnancy, race, marital status, sexuality, age, family/ carer responsibilities, disability, transgender, political conviction or religious belief.

BECS is committed to providing employees, student and contractors a safe and health work and learning environment that is free from bullying and violence, sexual harassment, victimization and vilification.

## **1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF 2007). As such, BECS is required to comply with relevant State and Territory laws including anti-discrimination, equal opportunity, racial vilification, disability discrimination. BECS is committed to providing the best practice, professional products and services to its clients and acknowledges it can only succeed in this with effective and efficient quality processes.

## **2. Policy Principles:**

All participants are enrolled non-discriminately and are clearly informed of the enrolment process and the following enrolment conditions

### **2.1. Equal Opportunity**

- 2.1.1. BECS aims to provide equal opportunity for all employees, contractors and students and ensure that its policies and practices are free from direct or indirect discrimination regardless of gender, pregnancy, race, marital status, sexuality, age, family/carer responsibilities, disability, transgender, political conviction or religious belief.
- 2.1.2. BECS will ensure that all staff, employees, and contractors have access to the information and support needed to prevent discrimination, sexual harassment, bullying and violence, victimization, and vilification or to deal with it appropriately if it occurs.
- 2.1.3. BECS encourages informal resolutions of discrimination, sexual harassment, bullying and violence, victimization, and vilification grievances in the first instance, as close to the source as possible, with the option of conciliation or investigation of the compliant if necessary.
- 2.1.4. Those responsible for advising, conciliating or investigating a complaint must act fairly and impartially, they must act without bias and avoid any conflict of interest the respondent must be given a fair opportunity to know the case against him or her and to be given the opportunity to make a considered response.
- 2.1.5. All staff, students and contractors involved with BECS's complaint procedures will be treated with respect and courtesy. Enquiries and complaints will be dealt with in a sensitive, equitable, fair, and confidential manner. All attempts will be made to deal with matters expeditiously while ensuring all parties are provided with sufficient time to prepare and or respond.
- 2.1.6. BECS acknowledges that it is of paramount importance and in the best interests of all parties that confidentiality is maintained during these procedures
- 2.1.7. BECS will endeavor to ensure that staff members, students and contractors using these procedures are not victimized. Wherever it is appropriate, steps will be taken to ensure harmonious working relationships during and after conciliation and investigation.
- 2.1.8. BECS encourages the reporting of behaviour that breaches equal opportunity policy, but will not tolerate vexatious or frivolous complaints.

## **2.2. Anti discrimination**

In accordance with anti-discrimination legislation in Australia, BECS is committed to assisting members of the EO (Equal Opportunity) groups to overcome disadvantage. EO groups are people affected by past or continuing disadvantage or discrimination. These groups are:

- 2.2.1. Women;
- 2.2.2. Aboriginal people and Torres Strait Islanders;
- 2.2.3. Members of racial, ethnic, and religious minority groups;
- 2.2.4. People with a disability.

## **2.3. Bullying & Violence**

BECS will not tolerate behaviour which is bullying or violent and expects all employees, contractors and students to treat each other with dignity and respect. BECS recognises bullying and violence demeans and infringes the rights of individuals and groups, damaging the work and learning environment. BECS will ensure that complainants of bullying and violence will not be victimised for making a complaint.

## **2.4. Sexual Harassment**

BECS will not tolerate behaviour which is considered to be sexual harassment and expects all employees, contractors and students to treat each other with dignity and respect.

- 2.4.1. Sexual harassment may occur among peers or co-workers, and in subordinate-supervisor, supervisor-subordinate or staff-student, student staff, student-student situations.

## **2.5. Vilification**

BECS will not tolerate behaviour which vilifies another person and expects all employees, contractors and students to treat each other with dignity and respect.

## **2.6. Victimisation**

BECS will not tolerate behaviour of victimisation of another person and expects all employees, contractors and students to treat each other with dignity and respect.

In order for complaints to be brought forward, complainants must feel secure in the knowledge that BECS's procedures will be followed without fear of detriment. Any complain of victimisation will be treated in the same manner as a complaint of discrimination, sexual harassment or vilification.

## **2.7. BECS Responsibilities**

BECS has a legal and moral obligation to provide equal opportunity in an environment free from discrimination for employees, contractors and students. BECS will:

- 2.7.1. Maintain policies and procedures for equal opportunities for all staff, contractors and students;
- 2.7.2. Disseminate policies and procedures to staff, contractors and students as they affect them in their engagement with BECS;
- 2.7.3. Examine all policies and practices, as they affect employees, contractors, members and students to ensure the elimination of discrimination and harassment;
- 2.7.4. Ensure that there is no discrimination against any individual or group of students or staff, in access to facilities, products and services;



- 2.7.5. Educate BECS staff and contractors on the general goals and philosophy of equal opportunity together with the rationale for policies and practices which are adopted;
- 2.7.6. Eliminate sexist and other discriminator language from all Institute publications and discourage the use of such language in all printed material and in the speech of its staff, contractors and students;
- 2.7.7. Establish and maintain mechanisms within the Institute to deal with complaints concerning discrimination and sexual harassment;

## **2.8. Staff, Contractors and Student Responsibilities**

BECS employees, contractors and students have the responsibility to:

- 2.8.1. Act to prevent harassment, discrimination and victimization against others;
- 2.8.2. Respect differences among other staff, students and contractors such as cultural and social diversity;
- 2.8.3. Treat people fairly, without discrimination, harassment or victimization;
- 2.8.4. Refuse to join in with these behaviours;
- 2.8.5. Supporting the person in saying no to these behaviours;
- 2.8.6. Acting as a witness if the person being harassed decides to lodge a complaint.

If a BECS employee, contractor or student feels harassed, bullied or otherwise a victim of unwelcome behaviour, the employee, contractor or student is encouraged to inform the person where the behaviour is unwanted, unacceptable and/or offensive. If the employee, contractor or student feels unable to approach the person, or if the behaviour continues following their request that the behaviour cease, the Managing Director RTO should be contacted.

## **2.9. Prevention of Harassment, Vilification and Bullying - BECS has policies and procedures in place for the prevention of harassment, vilification, victimisation and bullying.**

- 2.9.1. BECS is committed to providing an environment which recognises and respects the diversity of employees, consultants and participants. BECS is committed to providing a work and study environment free from harassment, vilification and bullying and supports the rights of all employees, contractors and students to work and study in a safe and healthy environment free from such behaviour.
- 2.9.2. BECS recognises that harassment, vilification and bullying demeans and infringes the rights of individuals and groups, damaging the work and study environment.
- 2.9.3. BECS recognises the rights of participants, staff and consultants to study and work in an environment which is free from harassment, discrimination or threatening behaviour. Harassment, vilification and bullying will not be tolerated at BECS. This right is accompanied by everyone's responsibility to:
  - Respect the rights of others;
  - Respect difference and diversity; and Respect people's rights to privacy and confidentiality.
- 2.9.4. Participants have a responsibility to:
  - Observe site rules or behaviour guidelines set by Trainers/Assessors or other BECS representatives;
  - Behave in a manner that does not interfere with the learning of others; and
  - Conduct themselves in a responsible manner while in training.

- 2.9.5. The rights of participants to have their say is balanced with the responsibility to listen to others and allow others to have their say.
- 2.9.6. All complaints of discrimination will be treated seriously and investigated promptly, confidentially and impartially.
- 2.9.7. BECS ensures that complainants to harassment, vilification and bullying will not be victimised for making a complaint.
- 2.9.8. A full complaint mechanism is in place and a formal grievance policy exists for any student, trainer or member of staff who is the victim of harassment, vilification or bullying.
- 2.9.9. As a student, you have the responsibility to:
  - Act to prevent harassment and discrimination against others
  - Respect differences among students and trainers such as cultural and social diversity.
  - Treat people fairly, without discrimination or harassment.

## **2.10. Disability**

Employees, contractors and students with disabilities are encouraged to discuss with BECS any 'reasonable adjustments' to work and student environment which they consider being necessary or would assist them in the performance of their duties or studies. For adjustments relating to the BECS facilities, employees, contractors and student should contact the Managing Director of BECS. Careful consideration will be given to any proposals of this nature and, where reasonable and reasonably practicable, such adjustments will be facilitated. There may however be circumstances where it will not be reasonable or reasonably practicable for the Institute to accommodate those proposals and where some other adjustment or treatment may be justified in line with statutory provision and the AQTF.

## **2.11. Criminal behaviour**

Certain acts of sexual harassment may constitute a criminal offence. Physical molestation or assault, indecent exposure, obscene communications (including email), sexual assault, rape and stalking can be pursued with the police and BECS will support a complainant who wishes to report a complaint. In the event that the person does not wish to go to the police the matter can be dealt with under this policy and procedures.

## **2.12. Complaints**

Employees, contractors or students who wish to make a complaint related to Equal Opportunity should do so in accordance with BECS's Customer Complaints Policy directed to the Managing Director of BECS.

### **Procedure**

Any staff member, trainer or participant who believes they have been subject to any form of discrimination or harassment is encouraged to register a grievance as set out in the Grievance/Complaints Policy and Procedure.



### Policy Statement

All BECS staff are responsible to maintain an environment of safety, mutual respect and understanding to foster the learning process and personal and professional growth; this it is all of our responsibility to maintain.

The policy covers all BECS staff and students. The Managing Director of BECS will enforce this policy in a fair and proper manner with due regard to the rights of each party involved in any action. Once a matter has been dealt with under this policy it should have no influence on any other matters between BECS and the person concerned. The policy will be applied from the Organisation to the person. It is not to be used against a group of people as a single entity

*BECS Code of Conduct (F15-03)* identifies the expected behaviours by staff, students, visitors and guests in BECS classes or any interactions between BECS staff and students and between students.

Failure to uphold the policies as described in code of practice is considered to be misconduct, and will result in disciplinary action.

This policy deals with the actions that will be taken should the members of staff, students, visitors and guests act outside the guidelines in *BECS Code of Conduct (F15-03)* or outside any applicable BECS policy or laws of the State or Commonwealth of Australia

### Definitions

- **Discipline** refers to sanctions and measures taken by BECS towards staff or students who have been deemed by BECS management to have acted outside the expected standards as expressed in *BECS Code of Conduct (F15-03)* and in this document
- **Breach of Discipline** is an act of a person that falls outside guidelines and policies of BECS and applicable laws and regulations.
- Specifically it refers to:
  - a. Conduct that impairs the reasonable freedom of any person to pursue his or her studies at BECS
  - b. Conduct that is prejudicial to BECS management or any activity that is organized by BECS.

#### 1. Introduction

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, BECS is required to comply with relevant State and Territory laws including anti-discrimination, equal opportunity, racial vilification, disability discrimination.

#### 2. Principles:

The following principles underpin this policy:

BECS operates with the philosophy of providing an environment of mutual respect, co-operation, and understanding.





Failure to uphold the policies as described in code of practice is considered to be misconduct, and will result in disciplinary action.

Conduct requiring disciplinary action may include:

- Assault, bullying, stealing and vandalism
- Consumption of alcohol or drugs during, or prior to, training,
- Malicious damage to property
- Willful disobedience of a reasonable instruction from a staff member,
- Any dishonest or unfair acts in regard to assessments, records of study or the provision of information to the RTO regarding enrolment,
- Plagiarism, cheating or collusion,
- Discrimination against other students or staff on the grounds of gender, marital status, sexuality, race, religion, physical or intellectual disability,
- Failure to pay fees,
- All forms of offensive behaviour.

Where the breach falls within the scope of the laws of the State or Commonwealth, those laws shall be followed in regard to reporting the alleged offence/s.

These rules do not override any laws, regulations or conditions imposed by a Registering body or Government body

### 3. **Supporting Documentation**

BECS documentation which supports the implementation of this Policy include:

- 3.1. F15-01 - Student Code of Conduct
- 3.2. F15-02 - Trainer/Assessor Code of Conduct
- 3.3. F15-03- BECS Code of Conduct
- 3.4. F03-01 - Appeals lodgement form
- 3.5. F11-01 - Complaint lodgement form
- 3.6. POL15.2 - Student Plagiarism, Cheating and Collusion Policy
- 3.7. POL15 - Equal opportunity Policy and Procedure
- 3.8. AQTF Essential Conditions and Standards for Continuing Registration

## **Procedure**

### **STEP 1**

Breach of code of conduct occurs by student or staff member

### **STEP 2**

BECS Managing Director notified & investigates possible breach

### **STEP 3**

BECS Managing Director makes a ruling on the breach

### **STEP 4**

If the breach of code of conduct is proven:

- 4.1. BECS Managing Director requests person involved to answer to the breach within 5 days

- 4.1.1. If there is NO response to BECS Managing Director's request:
- BECS Managing Director organizes meeting to explain disciplinary action or impose sanctions and/or penalties
  - Both parties signoff on the agreed action; or
  - Appeal may be lodged using 'Appeals lodgement form F03-01'
- 4.1.2. If BECS Managing Director is not satisfied with response:
- BECS Managing Director organizes meeting to explain disciplinary action or impose sanctions and/or penalties
  - Both parties signoff on the agreed action; or
  - Appeal may be lodged using 'Appeals lodgement form F03-01'
- 4.1.3. If BECS Managing Director is satisfied with response:
- No further action.
  - BECS Managing Director assesses whether improvements are needed to prevent recurrence
- 4.1.4. Should a breach occur during a class/lecture/tutorial or any face-to-face contact with BECS staff and/or other students:
- the student will be first verbally warned.
  - Where the behaviour continues after the verbal warning, the student may be asked to leave the premises and a written warning will be issued or other penalties may be imposed.
  - Imposition of penalties may include one or more of the following:
    - \* suspension from study for a designated period
    - \* limited access to BECS facilities, if relevant
    - \* withdrawal of the student or member of staff from BECS activities
    - \* expulsion from course.
- A copy of this warning will be kept on the participant's record
- Appeal may be lodged using 'Appeals lodgement form F03-01'
- 4.1.5. If state or commonwealth laws were broken, appropriate authorities will be notified

## **STEP 5**

If the breach of code of conduct not proven

- No further action.
- Manager assesses whether improvements are needed to prevent recurrence

**Policy Statement**

BECS is committed to the welfare of all learners undertaking its programs and will provide guidance as appropriate to assist learners in determining their best study options. If you are finding it difficult to cope with your studies due to personal or LL&N issues, BECS will provide mentoring and appropriate referrals to professionals in those areas of need.

BECS personnel will make every effort assist you in identifying appropriate services; however BECS will not be responsible for any costs associated with these services.

In keeping with our Access and Equity Policy, we will endeavour to assist you in meeting the requirements of your program despite your circumstances. BECS and its personnel cannot spend excessive time with individual learners as this would be to the detriment of the remainder of the program participants.

**1. Introduction**

BECS is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, BECS is required to ensure that all of its operational policies and procedures incorporate the principles of access and equity relating to student welfare.

**2. Policy Principles:  
Support Services**

Some useful contact numbers include:

Job Watch Inc	1800 134 142
Commonwealth Ombudsman	1300 362 072
Lifeline	131 114
Monashlink Community Health Services	9568 1599
Consumer and Tenant Recourse Centre	9761 0288
Court Network	9662 1933
Victorian Legal Aid	9879 5500
Equal Opportunity Commission Victoria	1800 681 614
Centrelink	132 850 (Employment services) 132 490 (Youth Allowance & Austudy)

BECS staff take pride in the high standard of training they provide and they invite you to work in partnership with them to share the responsibility for developing a safe and effective learning environment with mutual respect and understanding.

The Student Code of Conduct outlines a student's responsibilities and rights. Its purpose is to ensure an atmosphere of understanding, respect and professionalism and a supportive adult learning environment that celebrates diversity and embraces equal opportunity.

Every student has the right to participate in BECS's programs/activities, free of inappropriate behaviour that may impair the learning process or the emotional, physical and mental wellbeing of individual students.

As a student at BECS, you are required to adhere to the guidelines listed below.

### **Student Expectations**

BECS expects that students will be committed to their studies, interact in a positive and respectful manner with both staff and students and operate in an ethical fashion. This Code of Conduct provides details of expectations of student behaviour/conduct as well as providing details of the possible consequences to students if they are in breach of it.

In particular, this Code of Conduct details expectations of students in relation to:

- General behaviour and attitude
- Harassment/bullying
- Plagiarism, Cheating, and collusion
- Assessment tasks and deadlines

#### **1. General behaviour and attitude**

BECS maintains high education and training standards that require students to be committed to their studies in order to achieve their educational goals. To those who are committed to their studies, BECS will be devoted to help them achieve educational success.

Students are expected to:

- 1.1. complete all assessment tasks and practical work as agreed in their student training plan – form F18-02
- 1.2. attend their classes and practicum regularly and on time
- 1.3. be prepared for their classes and/or practicum
- 1.4. treat their peers and teachers/trainers-assessors with respect
- 1.5. behave in a manner which does not interfere with the learning rights of others
- 1.6. seek help or guidance with any difficulties they may be experiencing by talking to the teaching staff and/or the Managing Director
- 1.7. have regard for BECS facilities available to them and ensure that such property is treated with respect

If any student disobeys BECS rules, particularly with regard to those set out below, the student will be issued with two warnings. If the student re-offends, BECS reserves the right to

withdraw the student from the enrolled course/program. For further disciplinary action, please refer to BECS Disciplinary Policy and Procedure (POL15.1)

## **2. Harassment/bullying**

BECS operates with the philosophy of providing an environment of mutual respect, co-operation, and understanding; as such the learning environment should be comfortable for all staff and students and free from any form of harassment. Harassment may take many forms including:

- 2.1. racial harassment—unfairly disadvantages people based on negative attitudes about cultural backgrounds and physical characteristics
- 2.2. sexual harassment—verbal or physical acts which refer to a person’s sexuality or gender in an offensive or degrading manner
- 2.3. verbal harassment—can overlap with any of the other forms of harassment, but also includes offensive language, slander, offensive notes or graffiti or telephone messages, SMS, email or messages on blogs or on social networking websites about others.

All BECS students and staff have the right to:

- 2.4. feel safe and comfortable at all times
- 2.5. feel secure at all times.

All BECS students and staff have the responsibility to:

- 2.6. keep themselves and their environment safe
- 2.7. show respect for themselves, for others and BECS ‘s property.

Actions which take the form of harassment or assault or which are coercive, including those that are seemingly justified on the basis of being an initiation into, or punishment within a group, are unacceptable. Harassment is not tolerated at BECS and the Managing Director will deal with all incidents of harassment as per BECS Disciplinary Policy and Procedure (POL15.1).

## **3. Plagiarism, Cheating, and Collusion**

### **Expectations:**

BECS expects all students to conduct themselves honestly, ethically and in accordance with accepted standards. BECS regards plagiarism as a very serious offence, and keeps a register of cases of student plagiarism to assist the detection of students committing multiple offences.

When it is identified that a student has cheated or committed an act of plagiarism, BECS has a Student Plagiarism, Cheating and Collusion Policy and Procedure (POL15.2) that is intended to provide direction.

## **4. Assessment Tasks and Deadlines**

Due dates for assessment tasks have been agreed by you in your Student Training Plan (F18-02). Students must meet the deadlines; if there are difficulties, we encourage you to talk to your trainer/assessor to arrange another time. Students need to submit assessment tasks to the address as indicated in Student Training Plan (F18-02). The required cover page and other forms, as indicated in your assessment kit, must accompany all submitted assessment tasks.



**Condition of enrolment**

A condition of enrolment in BECS training programs is that students comply with ‘BECS Student Conduct and ‘BECS Code of Practice’. BECS bases this code on the principle of protecting the interests and safety of all students, and to enable BECS staff to provide a high level of service to all students.