

# AUSTRALIAN FINANCIAL MARKETS ASSOCIATION

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## Student Handbook 2018



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## ABOUT AFMA EDUCATION

The professional skills, knowledge and ethical standards of the individuals operating within Australian financial markets are vital to the markets' performance and integrity, underpinning their growth, increasing sophistication and international credibility. As the association representing firms participating in Australia's traded financial markets, AFMA is committed to promoting high standards for its practitioners.

A key element of ensuring high standards is setting minimum industry benchmarks for the skills, knowledge and ethical behaviour required of market participants. Recognising this, the industry, through AFMA, has developed a comprehensive training and accreditation system for participants operating in Australia's financial markets.

AFMA has developed a range of training programs with content and assessment that are tailored to the needs of our members. This document provides information for those enrolled by their employer in these programs, whether they are a qualification or a certification. All programs are focused on traded financial markets, and what an individual must know and be able to do in order to operate effectively within them. All of our flagship programs are pathways to industry accreditation — which in turn provides assurance of your having met the industry-defined benchmark for knowledge and skill in a given area.

### AFMA is a registered training organisation

The Australian Skills Quality Authority (ASQA) has accredited AFMA to operate as a Registered Training Organisation (**RTO # 91407**).

RTOs are providers and assessors of nationally recognised training and can issue qualifications within the Australian Qualifications Framework. AFMA's RTO has the accredited scope of registration to issue the

- FNS51015 Diploma of Financial Markets
- FNS80115 Graduate Diploma of AML & CTF
- FNS67015 Advanced Diploma of Financial Licensing Management

As an RTO AFMA must ensure that it complies with the National Vocational Education and Training Regulator Act 2011 and the VET Quality Framework.

### What courses we offer

AFMA offers the following programs designed to meet industry benchmarks:

- Financial Markets Program
- Responsible Managers Program
- AML/CTF Graduate Program

This Handbook will discuss both your and AFMA's obligations during your enrolments.

**Note** that AFMA also offers a range of short training courses for those who have completed a professional qualification and have ongoing education and development requirements. These programs are not discussed in this Handbook. Please see [www.afma.com.au](http://www.afma.com.au) > Learning > Continuing Education for more details of these.

## HOW TO ENROL IN AFMA COURSES

AFMA Learning is designed to ensure individuals and organisations operating within the Australian traded financial markets have access to a relevant and appropriate method of assuring an approved level of knowledge and skills.

AFMA welcomes all individuals who wish to participate in our award programs. Students may enrol in a course in the following ways:

- **Register on-line** – Once the individual has decided to go ahead and register for the program, they can register for the modules via AFMA website.
- **Send email to Education**– An individual wishing to enrol into a program can email <education@afma.com.au> with their contact and payment details and nominate the program they would like to attend.

## FEES

It is AFMA's policy to collect all fees for participants undertaking "User Pay Services" at the time of enrolment.

## UNIQUE STUDENT IDENTIFIER REQUIREMENTS

The Unique Student Identifier (USI) is a national student number that replaces candidate numbers, allowing students to see all of their individual training results from all providers including all completed training units and qualifications in one space.

Each individual account will be linked to the National Vocational Education and Training (VET) Data Collection, meaning you will be able to find, collate and authenticate your VET achievements into a single transcript. It will also ensure that your training records are not lost. You only need one USI for all of your study, and it stays with you for life!

All students studying qualifications are required to register for a Unique Student Identifier before or upon enrolment. This means when you come to AFMA to enrol, you will need one.

If you do not have a USI at the time of enrolment, you can obtain one from the Department of Industry from the following link: [Student USI Portal](#)

When we apply for a USI on your behalf, AFMA will verify your identity. AFMA will do so through the Document Verification Service (DVS) managed by the Attorney-General's Department which is built into the USI online application process if you have documents such as a

- Medicare card,
- Birth certificate
- Australian driver licence
- Australian passport
- Citizenship document, certificate of registration by descent
- ImmiCard
- Australian entry visa.

If you do not have a document suitable for the DVS and we are authorised to do so by AFMA, we may be able to verify your identity by other means. If you do not have any of the identity documents mentioned above, and we are not authorised to verify your identity by other means, we cannot apply for a USI on your behalf and you should contact the Student Identifiers Registry.

[More information on USI](#)

## OUR STUDY SUPPORT AND TECHNICAL REQUIREMENTS

Should you require assistance with your studies, AFMA has a range of services available.

### Student resources page

All AFMA courses have a resources webpage that may contain course updates or errata, suggested further reading and suggested responses to the activities and case studies contained in the course notes. It is your responsibility to check this page regularly to ensure you keep abreast of any developments. Note that in most of our programs, student resources are available through the AFMA Moodle system. See your course brochure or module outline for further details..

### Course advice and study support

#### Course advisers

Our course advisers are available to assist you throughout your studies, and can advise on issues such as enrolment, subject selection and any concerns affecting the completion of your studies. Contact AFMA on (+61 2) 9776 7900 to speak with one of them, or email <education@afma.com.au>.

#### Technical content support

If you require clarification or are concerned regarding an error in the notes or exam, then please also contact these advisers, who will direct your queries to the relevant education team member. This education specialist will either answer your query directly, or refer to an experienced, current market practitioner for further advice.

#### Calculators

Students in specialist modules will require a financial calculator that has, as a minimum, the ability to raise numbers to a power (yx or xy button) and can process numbers to eight decimal places.

While AFMA does not recommend a specific calculator, the following will meet your course and exam requirements:

- Hewlett Packard 17B+
- Hewlett Packard 12C

Note that hand-held computers/devices, translation devices, MP3 players and mobile phones that have the ability to store and display text are not permitted in examinations.

## Other useful resources

### Industry news and publications

Due to the applied nature of AFMA's programs, we recommended you regularly read the financial press to gain a broader understanding of the domestic and international issues within financial markets. Suggested texts, as well as journals and websites, may be listed on the Student Resources pages or in your course notes.

### Independent research and reflection

Self-directed and self-motivated study is every bit as important a professional skill to develop to further your professional career as passing your market accreditation requirements.

For this reason, much of AFMA's assessment requires you to undertake independent research and reflect on your professional experience. Our courses will direct you to do this on occasion; however we also suggest it is an important activity you undertake irrespective of whether your assessment directly requires it of you.

### Support for students with special needs

AFMA supports students with special needs via its Disability Adjustment Policy. See the section in 'Relevant Policies' for more information.

## CONTINUING EDUCATION

Continuing education (CE) is vital in enhancing the efficiency of the financial services industry and developing practitioner skills. The primary objective of CE is to ensure that individuals within the market:

- maintain their practitioner knowledge, skills and integrity
- represent the financial services industry in a competent and professional manner
- ensure they are making a positive investment in their future, and the future of the industry.

ASIC confirms the requirement for CE in RG 146 but does not prescribe a minimum number of hours per year. AFMA, as the industry professional body, has established a minimum requirement of 20 hours per annum of CE in order for AFMA Accredited Individuals to maintain their accredited status.

AFMA has developed a broad range of workshops, events and self-study products to assist AFMA Accredited Individuals to meet their annual CE requirements. Further information on AFMA's CE guidelines can be found in the AFMA Accreditation Guidelines.

## POLICIES

### 1. CLIENT SERVICES POLICY

AFMA will provide the highest level of service to clients undertaking educational services.

Delivery of services will comply with all government statutory regulations and registered training organisation requirements.

All client service procedures will be developed and applied within the Vocational Education and Training Quality framework.

In support of the client services policy, AFMA draws upon the following policies:

- Student Enrolment Policy
- Educational Fee Policy
- Cancellation, Refunds and Transfers Policy
- Qualifications Policy
- Course Exemption Policy
- Assessment Policy
- Assessment Feedback Policy
- Assessment Appeals Policy
- Academic Misconduct Policy
- Discipline Policy
- Complaints and Grievance Policy
- Workplace Health and Safety Policy
- Anti-discrimination Policy
- Equal Opportunity and Employment Policy
- Disability Adjustment Policy
- Privacy Policy

As a Registered Training Organisation (RTO), AFMA must ensure that it complies with National Vocational Education and Training Regulator Act 2011 including VET Quality Framework.

AFMA has developed appropriate policies, procedures, tools, resources and operational guidelines to support these standards.

For further information on the standards please refer to: < <http://www.asqa.gov.au/for-training-organisations/rto-obligations/maintaining-compliance.html>>

As part of the commitment to quality improvement and the process of identifying risks to the business, AFMA will undertake a continual review of existing policy, procedures and content materials relating to educational services offered.

AFMA will use the self-assessment tools form to review compliance with the individual Standards for Registered Training Organisations (RTOs) 2015 on an annual basis. This review will be undertaken by the General Manager, AFMA, or relevant nominated personnel.

## **2. OVERVIEW OF AFMA STUDENT POLICIES**

Students wishing to gain further information on AFMA Student Policies, or copies of the policies referred to in this handbook, can contact AFMA Accreditation and Training on (+61 2) 9776 7900 or <education@afma.com.au>.

### **2.1. Student Enrolment Policy**

AFMA's student enrolment policy articulates processes for enrolling students. It is supported by principles found in AFMA's access and equity policy.

AFMA undertakes to disclose full details of education products, services and fees prior to enrolment.

All student fees must be received by AFMA prior to the commencement of modules, workshops or services offered by AFMA.

### 2.1.1. Financial Markets Program - Distance Learning

**Financial Markets Core** - Distance student status is available to students who are not resident in either Sydney, Melbourne or Brisbane. It may also be applied to employees of AFMA members whose work hours prohibits them from attending the workshop i.e. night shift employees.

**Specialist modules** – Distance learning mode is available for all candidates.

### 2.1.2. Graduate Diploma Entry

Individuals wishing to register in the AML Graduate Program must first apply for a place in the course by completing the application form and submitting it to AFMA together with their most current resume and relevant academic transcripts.

Eligible individuals will be offered a place and invited to complete a registration form and register for the course.

Students are required to complete the modules of the course sequentially, commencing with Module 1. AFMA may approve individuals commencing the course by enrolling in Module 2 if they have significant work experience of all of the following:

- identifying and analysing global AML/CTF risks and vulnerabilities
- designing processes for monitoring customer behaviour, including determining risk criteria and analysing use of products and services
- Designing processes for ensuring client risk assessments are consistent with organisational risk appetite

Under no circumstances will students be permitted to commence their studies with Module 3.

## 2.2. Educational Fee Policy

AFMA's educational fee policy has been established to provide guidelines on the collection and refunds of fees relating to students undertaking educational services with AFMA.

AFMA will clearly distinguish in the price of supporting materials and services from the standard program fee. **Other fees may include:**

- Replacement of award/qualification
- Additional manuals
- Assessment resubmission
- Assessment feedback
- Attendance mode change
  - FX Markets

- Debt Markets
- Module re-enrolment

All program related fees are available on AFMA's website for each qualification. Please refer to the following links:

- [Financial Markets Program](#)
- [Responsible Managers Program](#)
- [AML/CTF Graduate Program](#)

AFMA will benchmark fees for 'User Pay Services' against other industry organisations providing like services.

AFMA will review and possibly revise its fees for all services on an annual basis.

Please contact AFMA Accreditation and Training on (+61 2) 9776 7900 or <education@afma.com.au>.

## 2.3. Cancellation, Refunds and Transfers Policy

### 2.3.1. Cancellation requests and refunds

Cancellations must be made at least 10 working days prior to the service being provided.

Cancellations notices received less than 10 working days prior to the service being provided will not be subject to a refund.

All requests for refunds must be in writing and should be directed to the attention of Head of Education by email to education@afma.com.au

Full refunds are available for programs cancelled by AFMA

Refunds are not available for

- change of mind
- job change
- change in work hours
- inconvenience of travel to training venue
- moving interstate
- redundancy/ retrenchment
- financial hardship

### 2.3.2. Transfer requests by students

Requests to transfer an enrolment to another workshop or cohort must be made at least 10 working days prior to the service being provided with no fee being incurred. Students are allowed two transfers before an administration fee is incurred.

Requests for transfers within 10 working days of the commencement date will incur an administration fee regardless of the number of prior transfer requests received.

### *Role plays and knowledge quiz transfers*

Requests to transfer a role play or knowledge quiz booking must be made at least 3 working days prior to the attempt date with no fee being incurred. Requests for transfer within 3 working days of the attempt date will incur an administration fee.

### *Substitution of student enrolment*

Course material that has been issued to the initial student must be transferred to the new student. Permission from the original student (and payer) must be provided in writing. Any price variance will be charged.

## **2.3.3. Transfer by AFMA**

AFMA reserves the right to transfer any students falling behind the recommended learning plan to a later workshop or cohort, after communication with the affected students. Transfers by AFMA are liable to an administration fee.

## **2.3.4. Non-attendance**

Non-attendance for any AFMA service is liable to an administration fee.

## **2.4. Qualifications Policy**

In the vocational education and training sector, all qualifications are based on industry training packages where they exist, or on competency standards developed by relevant industry, enterprise, community or professional groups.

In issuing qualifications, AFMA will ensure the quality of the assessment strategies, and that it complies with the guidelines for issuing qualifications and certification in accordance with VET Quality Framework and AQF requirements.

In accordance with AQF requirements and in accordance with AFMA's mutual recognition requirements AFMA recognises qualifications issued by other registered training organisations and other accredited providers of education. AFMA reserves the right to validate the competencies that students have gained with other providers.

## **2.5. Course Exemption Policy**

There are a number of alternative pathways by which you can achieve AFMA's qualifications (see a brief summary of each below). For further details on these, or to determine your eligibility, please contact your AFMA education adviser on (+61 2) 9776 7900 or by email <education@afma.com.au>, and consult our *Alternative Completion Information Kit*.

### **2.5.1. Credit Transfer**

Credit Transfer may be obtained through recognition of qualifications issued by other RTOs and is applied to individual units of competencies – not the entire qualification.

Candidates may be able to obtain advanced standing into our qualification programs using Statements of Attainment or transcripts achieved at other registered training organisations or

educational providers where the study undertaken is equivalent in content and learning outcomes between matched unit/s of competencies.

*When consideration applications for credit transfer, AFMA follows the:*

- mapping, comparing and evaluating the extent to which the learning outcome, discipline content and assessment requirements of the individual components of one qualification are equivalent to the learning outcomes, discipline content and assessment requirements of the individual components of another qualification, and
- making a judgment about the recognition to be assigned between the matched components of the two qualifications.

AFMA reserves the right to 'skills test' students to validate the currency of previously undertaken programs or qualifications gained.

**Note:** course exemption can be granted only for a maximum of 50% of the program for candidates applying for the Advising pathway of the Diploma of Financial Markets and the Advanced Diploma of Financial Services Licensing Management as per ASIC's RG146 requirement.

If you wish to apply for credit transfer for more than 50% of the course, you may have your knowledge and skills assessed via individual assessment *provided* you satisfy ASIC requirements.

## 2.5.2. Recognition of Prior Learning (RPL)

AFMA's Recognition of Prior Learning and current competence policy give acknowledgment and recognition to participants' skills and knowledge gained through previous informal training and/or work and life experiences.

Applicants are required to compile a portfolio of evidence that demonstrates they possess the knowledge and skills they would otherwise achieve through a formal training program.

**Note** that an application must relate both to the content of the program and the specific competency elements.

### 2.5.2.1. Assessment Only

This option means that we will recognise any study undertaken in a similar field or topic in Australian higher educational institutions or overseas.

You will be exempted from undertaking the workshop(s)/training and will progress directly to the standard assessment tasks for the program.

### 2.5.2.2. Individual Assessment (IA)

ASIC Regulatory Guides 146 and 105 recognise this as an option whereby financial markets participants can meet the necessary training and assessment requirements. To be eligible for the assessment-only option, candidates must have at least five years out of the past eight years of relevant experience in a role that enables them to meet the responsibilities and

requirements of their current role. This option is only available for the Financial Markets Program.

## 2.6. Assessment Policy

The Assessment Policy and Procedures apply to all assessment processes undertaken by AFMA staff and to any assessments conducted under the auspice of a partnering organisation.

Unless stated otherwise, all policy and procedures cover the assessment of VET qualifications delivered to students studying on-shore and qualifications delivered to off-shore students.

### How students will be assessed?

To be assessed and deemed competent, students must complete the required assessment tasks as published by AFMA. Assessment tasks have been designed to assess both skills and knowledge and the application of this to an appropriate workplace outcome

Assessment requirements and tasks will be published on course marketing material, guides, course notes and learning management systems.

Assessment tasks will be consistent with the Training and Assessment Strategies developed by AFMA for each program/ qualification.

### Assessment re-take fee

Students are provided two attempts at each assessment task\* prior to a fee being incurred.

Assessment tasks include:

- Assignment
- Skills assessment case study
- Skills assessment role play
- Individual assessment

\*Financial Markets Program and AML/CTF Graduate Program (Upgrade Assessment)

## 2.7. Special consideration and reasonable adjustment Policy

Assessment procedures should consider and support the needs of all students who meet the inherent requirements of the course

- **Applying special consideration** comprises of making appropriate adjustments to assessment processes whilst maintaining the integrity of the assessment outcome
- **Reasonable adjustment** refers to measures or actions taken to provide a student with a disability the same educational opportunities as everyone else through making appropriate adjustments to assessment processes whilst maintaining the integrity of the assessment outcome.

### Applying special considerations and/or reasonable adjustments:

To request special consideration, students must discuss their requirements with their manager/training contact and submit appropriate evidence or documentation as follows.

Grounds for special consideration in assessment include but are not limited to:

- Illness / medical condition
- English language limitation
- Compassionate
- Religious Observance
- Community Service e.g. Jury Duty

Students will be advised of the outcome of their request for special consideration in writing. A record of the special consideration must be documented by the staff and kept in the student record electronically.

Where a student appeals the decision, the Head of Education will reassess the request for special consideration and make a decision. If the student deems the outcome to be unfair they can appeal to a relevant independent body.

### Specifying due dates and approving extensions

Students will be informed of due dates for assessments at the beginning of the component of study

Assessment due date refers to the date for submission of any material or attendance at a scheduled activity to satisfy assessment requirements.

It is the student's responsibility to submit required material or attend and participate in scheduled assessments. If the student is unable to meet an assessment due date, the student may request an extension.

A request for extension must be documented and received and granted by the RTO Education and Accreditation Manager prior to the assessment due date. A response from the staff member to a student's request for extension will be made in writing. This written advice will include a clear timeframe for the extension and the assessment activities that the extension relates to.

An extension of assessment activities may be granted where a due date disadvantages a student in a significant way. Such circumstances include compassionate grounds, sickness supported by a doctor's certificate, employment obligations supported by the employer or language, literacy and numeracy requirements of the student.

### Allowing resubmissions and deferred assessments

- **Resubmission** - The submission of an assessment piece after a student has revised it; Participation again in an assessment event because the original did not demonstrate that the assessment requirements were met.
- **Deferred assessment** - Deferred assessments are assessments provided at an alternative time. Deferred assessments may be granted where the student has otherwise met course requirements and is unexpectedly unable to participate in an assessment. This is usually due to special circumstances where a student is able to provide justification for their request; such circumstances include, but are not limited to: compassionate grounds, sickness supported by a doctor's certificate, employment obligations supported by the employer.

- **Retakes** (Only for AML Programs) - If you do not achieve a pass mark for your written assignment for a particular module, you will have to register for a retake at a later date. Retake dates and assignments are organized by AFMA and ICA on a needs basis, and the student will be notified of the availability and the date. Students can retake an assignment whilst attempting another module concurrently and there will not be any restrictions on progression through the qualification. Please refer to the ICA Assessment Rules for detailed information.

## 2.8. Assessment Feedback Policy

Assessments can be done either in-house at the student's workplace, at a public session or at AFMA (available for special consideration cases only). It is the student's responsibility to contact their internal training contact to organise a supervisor prior to booking the assessments with AFMA.

AFMA provides fee-based individual assessment feedback sessions with an assessor. These are one hour in length, and focus on the areas that the student's assessment feedback report has indicated they have struggled in.

If a student requests a feedback session, then they are required to review their feedback report, and revise the areas in which they performed poorly in their assessment attempt, before attending the feedback session. The session will then focus on providing instruction in the individual student's areas of weakness.

Students may only book their next assessment attempt after the feedback session has been conducted (unless special circumstances apply).

**Note that students are not permitted to re-attempt the assessment during the feedback session.**

Assessment feedback sessions are mandatory if a student has been awarded a result of 'not yet satisfactory' three times any assessment task. Students are not permitted to undertake any more re-attempts until they have completed the feedback session with the assessor.

## 2.9. Academic Misconduct Policy

'Academic misconduct' includes, but is not limited to, cheating, plagiarism and any other conduct by which a student seeks to gain from, or for any other person, any academic advantage or advancement to which they or that other person is not entitled and includes any conduct which constitutes a breach of the regulations relating to assessment.

AFMA has implemented a Turnitin system in AFMA Moodle to detect plagiarism on assessments submitted by candidates. Under this policy, if a candidate has copied work from other sources without utilizing proper referencing techniques and receives a Turnitin score of 30% or more, will be deemed as Academic Misconduct.

Where a student is suspected of plagiarism or collusion by an assessor, the following procedures will apply:

- On detecting possible plagiarism, an assessor will report the incident, together with relevant evidence, to the RTO Education & Accreditation Manager (or other nominated position).
- On receiving details of alleged plagiarism, the RTO Education & Accreditation Manager, together with the staff member reporting it, will decide whether or not plagiarism has occurred, and if it has occurred, assess the level of seriousness. If the RTO Education & Accreditation Manager detects plagiarism he or she should consult with the Head of Education (or other nominated position).
- If plagiarism has not occurred, there should be no further action.
- If plagiarism has occurred, the RTO Education & Accreditation Manager should provide appropriate educational or remedial advice to the student.

### Process for managing academic misconduct

The following processes must be adhered to when managing alleged academic misconduct at AFMA:

- Students will be given written notification of the nature of the fault in their work
- Students will be given the opportunity to re-submit the assessment (or part thereof) for remarking.

Students may appeal to AFMA to review the penalty imposed for the academic misconduct.

For further information on appeals, refer to the AFMA's Academic Appeals Policy below.

## 2.10. Complaints and Grievance Policy

AFMA strives to foster an environment that encourages effective relationships between clients and staff for the purpose of learning.

AFMA aims to provide an effective means by which all clients may bring any complaints and grievances to the attention of management.

Complaints or grievances from applicants must be in writing addressed to the Head of Education of AFMA. If the complaint is about the Head of Education, then the complaint should be addressed to the Executive Director.

Students may make a complaint about the following aspects of their enrolments:

- Current and past students may lodge academic or non-academic grievances.
- Prospective students may only lodge non-academic grievances relating to the admissions process.

All complaints will be investigated by the Head of Education and the applicant will be advised in writing of the result of the investigation.

All decisions by the Head of Education are final.

## 2.11. Disciplinary Policy

AFMA considers that any poor performance and unprofessional behaviour, which compromises the performance and professionalism of the organisation and students, will not

be tolerated under any circumstances. AFMA believes that all people have the right to be educated in a happy and professional environment.

All students undertaking educational services with AFMA will be treated in a fair and equitable manner and will have the right of reply to any allegations made against them.

This policy has been designed to solve problems at the most direct level, with a view to counselling a student in the first instance.

The resolution processes stated in this policy are based on principles of fairness, impartiality, consistency, consultation and mediation. If a student is to be disciplined the following steps must be taken:

- The student will be told of the allegations/unfavourable performance by their immediate supervisor or training personnel.
- The student and the supervisor/training personnel will meet to discuss the issue(s) with a plan to resolve the issue(s).

*Please note that either party may have independent witnesses present at the meeting. Students must be informed of this right before the commencement of the first meeting.*

Please contact AFMA Accreditation and Training on (+61 2) 9776 7900 or <education@afma.com.au>.

## 2.12. Academic Appeals Policy

All students enrolled in AFMA qualifications, are entitled to appeal on assessment issues concerning assessment questions, content and outcomes.

Appeals will only be considered where the appellant, or their employer, has lodged the appeal. Appeals may be accompanied by a letter of support from the candidate's Accreditation Representative.

The written appeal should outline the matters for appeal and attach all supporting documentation except where not available (e.g. the contents of an exam). The Head of Education will consider issues and materials relevant to the appeal and assess each case on its own merits.

### **The Procedure**

Students of the following programs have access to the appeals process:

- Financial Markets program
- Responsible Managers program
- AML/CTF Graduate program

To appeal, students must complete and submit a Student Appeals Form (email notification is acceptable) within 5 business days of the incident or notification which is the subject of the appeal. Appeals must be addressed to Head of Education, AFMA.

Appeals on an exam must be received in writing within 5 business days of the examination or within 5 days of the appellant attending an examination feedback session conducted by an AFMA trainer/assessor.

AFMA will make a determination on an appeal within 10 business days of receipt of the appeal. Head of Education can only make a decision to uphold or reject the appeal.

If the appeal is upheld, the Head of Education is empowered to provide a remedy to the appellant. If the appeal is rejected, the appellant will be advised of the reason.

The decision of the Head of Education is final and binding.

### **Grounds on which students may appeal**

*Students have the right to appeal on the following grounds:*

- **Assessment questions** – apparently incorrect or ambiguous questions
- **Assessment contents** – apparent differences between the learning materials and the assessment
- **Assessment outcomes** – where a skills assessment is marked as not yet satisfactory or not yet competent for any component of the course.

*Appeals in the following areas will not be accepted:*

- Assessment Booking and Cancellation rules and procedures
- Assessment re-sit rules and procedures
- Assessment type (i.e. electronic, multiple choice)
- English comprehension & proscription against dictionaries
- Proscription against assessment materials (i.e. “closed book”)
- Assessment subject matter (i.e. depth and scope of contents)
- Recognition of prior qualifications from foreign countries
- Exemption rules
- Timing and location of assessments
- Assessment final score calculation

This policy is supported by AFMA’s compliant and grievance policies.

### **ASQA complaints procedure**

Students who are not satisfied with the outcome of an appeal have the option to lodge a complaint with ASQA:

Complaints team  
Australian Skills Quality Authority  
GPO Box 9928  
Melbourne VIC 3001  
<http://www.asqa.gov.au/complaints/making-a-complaint.html>

## **1.1. Workplace Health and Safety Policy**

The AFMA Workplace Health and Safety Policy provide guidelines to ensure the following legislation is complied with:

- Work Health and Safety Act 2011
- Workers Compensation Act 1987
- Injury Management and Workers Compensation Act 1998

- Workcover Authority – Guidelines for Workplace Based Workplace Rehabilitation Programs.

Please contact AFMA Accreditation and Training on (+61 2) 9776 7900 or <education@afma.com.au>.

### 2.13. Anti-discrimination Policy

The AFMA Anti-discrimination and Harassment Policy provides guidelines to ensure AFMA's workplace and learning environment are free from any form of discrimination or harassment according to both NSW and Commonwealth legislation.

AFMA does not tolerate discrimination against, or harassment of, students by any other student, or by any employee, whether educational and training, or general staff. AFMA has developed this procedure to ensure that any complaints are dealt with sympathetically, effectively and within a reasonable time.

Please contact AFMA Accreditation and Training on (+61 2) 9776 7900 or <education@afma.com.au>.

### 2.14. Equal Opportunity and Employment Policy

AFMA's Equal Opportunity and Employment Policy is one of equal opportunity in employment and education. In carrying out this policy, AFMA will act in accordance with the following legislation:

- *Anti-Discrimination Act 1977 (NSW)*
- *Sex Discrimination Act 1984 (Cth)*
- *Racial Discrimination Act 1975 (Cth)*
- *Affirmative Action (Equal Opportunity for Women) Act 1986 (Cth)*
- *Disability Discrimination Act 1992 (Cth)*

### 2.15. Disability Adjustment Policy

AFMA's Disability Adjustment Policy sets out guidelines to ensure that the needs of any person with a disability are catered for by AFMA. It is AFMA's policy to make adjustments in employment and/or in the educational environment to meet the needs of people with a disability.

### 2.16. Privacy Policy

All information collected by AFMA is protected by the *Privacy Act 1988 and Australian Privacy Principles (APPs)*. Information on the Commonwealth Privacy Act can be found on the Federal Privacy Commissioner's website.

Individuals may access their own personal information, or have it corrected or updated at any time, by advising AFMA via email on <education@afma.com.au>.

Further information on AFMA's Privacy Policy is available on the AFMA website <www.afma.com.au>.

Please contact AFMA Accreditation and Training on (+61 2) 9776 7900 or <education@afma.com.au>.

## 2.17. National Training Framework

### ASQA

The Australian Skills Quality Authority (ASQA) was established by the *National Vocational and Training Regulator Act 2011* and is the national regulator for Australia's vocational education and training sector. For details of ASQA's functions go to <www.asqa.gov.au>.

ASQA is responsible for ensuring that AFMA meets its obligations as an RTO, and policing compliance with those obligations.

### ASQA offices

Melbourne—Level 6 595 Collins Street

Brisbane—Level 7 215 Adelaide Street

Sydney—Level 10 255 Elizabeth Street

Canberra—Ground Floor 64 Northbourne Avenue Canberra City.

Perth—Level 11 250 St Georges Terrace

Adelaide—Level 5 115 Grenfell Street

Hobart—Level 11 188 Collins Street

Phone: 1300 701 801

Open: 9 am to 7 pm weekdays