

2016 Academic Manual

(for Students and Staff)



THE ACADEMIC MANUAL (FOR STUDENTS AND STAFF) 2016 EDITION

These policies, procedures, statutes and regulations are effective from 1 January 2016 and supersede those in any prior format and/or document.

Note: Hardcopies of this document are considered copies of the original.
It is recommended that you always use the online copy when referencing the Academic Manual for the latest controlled version

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GENERAL STATEMENT

Within this Manual all references to Wintec means the Waikato Institute of Technology, a tertiary institution established pursuant to the Education Act 1989 (NZQA registered provider number: 6019).

These rules, policies and procedures apply to all programmes, modules and other forms of customised learning offered by Wintec.

**WINTEREC RESERVES THE RIGHT TO CHANGE ITS
POLICIES, PROCEDURES, STATUTES AND REGULATIONS
AT ANY TIME**

CONTROL PAGE

Section	Change Made	Date Change Approved	Change Effective for	Document Updated
Whole Document	First approved	8 Oct 2014	1/1/2015 -	n/a
AM2	Policy on Student Concerns, Complaints and Appeals (AC-08/02) reviewed and updated	Dec 2015	Dec 2015	Dec 2015
AM3 & AM4	Annual update of financial policies	June 2015	1/1/2016	Dec 2015
AM6	Policy on Assessment and Moderation (Ac-11/05) reviewed and updated	Oct 2015	Oct 2015	Dec 2015
	Removal of Reconsideration of Marks and Grades – integrated into policy on Student Concerns, Complaints and Appeals (AC-08/02)	Dec 2015	Dec 2015	Dec 2015
	Removal of Reconsideration of Final Grade - integrated into policy on Student Concerns, Complaints and Appeals (AC-08/02)	Dec 2015	Dec 2015	Dec 2015
AM9 – 14	Sections renumbered to take into account removal of previous two sections	Dec 2015	Dec 2015`	Dec 2015
AM10	New policy on Awards and Statements of Achievement (AC-15/01)	Oct 2015	Oct 2015	Dec 2015
AM10	Updated policy on Awards and Statements of Achievement (AC-15/01) with latest round of approved developments – under delegated authority by AAC.	Oct 2015	Feb 2016	Feb 2016

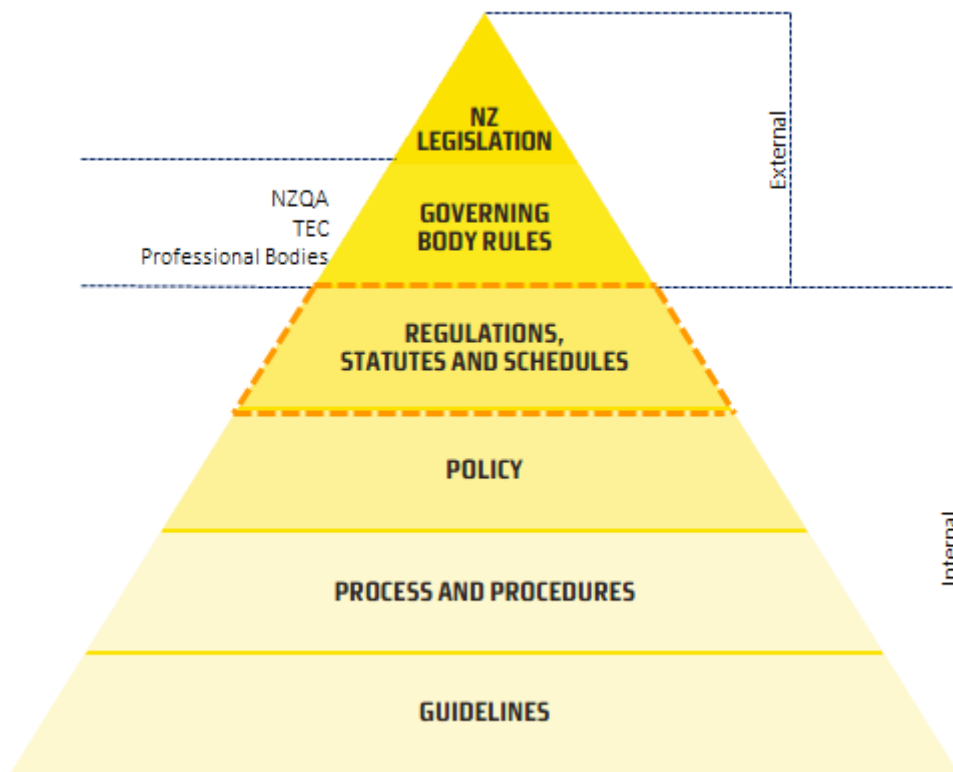


Diagram 1: Wintec's Regulatory Framework

The hierarchy above represents the interconnected nature of the regulatory framework and how regulations should not be viewed in isolation, but as part of a wider framework. With the exception of Guidelines, all components of the regulatory framework require full compliance.

The Academic Manual is a collection of rules, policies and procedures and companion of the Academic Regulations. The aim of the Academic Manual is to provide students and staff with a complete, clear and current understanding of the regulatory framework that supports their learning and teaching at Wintec.

SECTION AM1: EQUAL EDUCATIONAL OPPORTUNITIES POLICY (AC-99/05)

The policy on Equal Education Opportunity Parts A and B (AC-99/05) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Name: Equal Education Opportunity
Number: AC-99/05

Policy Owner: Dean
Category: Academic
Authorised by Academic Approvals Committee

Date Approved: February 1999
Date Last Revised: July 2014
Next Review Date: July 2017

Part A: Equal Education Opportunity

1. Purpose and Scope

Waikato Institute of Technology is committed to providing equal education opportunities to potential and current students and, in particular, will support specific initiatives aimed at increasing educational access, participation and success for disadvantaged and under-represented groups.

The aim of this policy is to enable people to pursue their educational and vocational goals without impairment by factors irrelevant to the requirements of their chosen programme of study and/or career, e.g. the person's status as Tangata Whenua, ethnicity, gender, marital or parental status, age, religious or political beliefs, country of origin, disability, sexual orientation or economic status ([Human Rights Act, 1993](#)).

2. Policy Statement

Wintec will endeavour to enable people to pursue and develop their chosen programme of study and/or vocational goals without being limited by impairment factors that are irrelevant to those goals. To achieve this, Wintec will actively seek to identify and eliminate institutional barriers that cause or perpetuate inequality in respect to the recruitment, selection, assessment, or other educational factors related to any person/s or group/s.

In accordance with its statutory obligations, charter commitments to the Treaty of Waitangi and commitment to equal education opportunity, Wintec will strive to:

- Ensure equal access to the institution and its facilities by minimising educational, physical, geographical and financial barriers to learning;
- Achieve educational parity for the Tangata Whenua by adopting policies and practices that respect the partnership intent of the Treaty of Waitangi;
- Actively encourage people from disadvantaged or under-represented groups to enrol in Wintec programmes/modules and fully participate in Wintec activities;
- Provide high quality education, equitable treatment and a supportive environment for Wintec students.

Procedures & Principles

Name: Equal Education Opportunity

Number: AC-99/05

Policy Manager: Student Experience Manager
Category: Academic
Authorised by Academic Approvals Committee

Date Approved: February 1999
Date Last Revised: July 2014
Next Review Date: July 2017

Part B: Equal Education Opportunity

1. Definitions

Access	Ability to participate in all facets of tertiary education, including access to buildings, enrolment and course information, programmes of study, course materials and Wintec services.
Accommodations	<p>Adaptations that remove barriers to enable equal opportunity and participation. This can include treating people differently, provided the goal is to achieve equity and does not disadvantage or advantage others.</p> <p>Accommodations include all facets of providing an inclusive environment, such as physical access, teaching practices, support services and provision of enrolment information and course materials in accessible formats (refer Kia Orite: Achieving Equity, Tertiary Education Commission and the Ministry of Education, 2004).</p>
Barriers	Direct or indirect structures, processes, policies and/or practices and attitudes that have the effect of preventing or disadvantaging potential or current students in relation to entry, access, participation, retention and/or achievement.
Disability	<p>Wintec adheres to the definition of 'disability' as stated in the New Zealand Disability Strategy (2001):</p> <p><i>"Disability is not something individuals have. What individuals have are impairments. They may be physical, sensory, neurological, psychiatric, intellectual or other impairments. Instead, 'Disability' is the process which happens when one group of people create barriers by designing a world only for their way of living, taking no account of the impairments other people have".</i></p> <p>The Human Rights Act (1993) provides the legal framework for accommodating people with impairments who are attending a tertiary institution. This includes people with short-term injury or illness, the Deaf community and people with other long-term and/or fluctuating impairments such as medical conditions, learning problems, head injury, physical / mobility limitations, blindness or low-vision, speech problems, mental health and other hidden impairments.</p>
Equity	Principles that promote fairness and equal opportunity for people from disadvantaged situations to participate and/or succeed in tertiary education.
Equal Education Opportunity	The provision of an environment that values diversity and actively promotes equal opportunities for access, participation, retention and outcomes for potential and current students.

2. Expectations

- 2.1 To achieve equal education opportunities for potential and current students, Wintec policies and procedures covering recruitment, selection, assessment and access to facilities, programmes of study and other Wintec services will enable people to pursue their educational and vocational goals, without being limited by impairment factors irrelevant to those goals.
- 2.2 Wintec is also committed to actively
 - 2.2.1 identifying and eliminating institutional barriers to equal opportunity, including educational, social, physical, geographical and financial barriers; and
 - 2.2.2 encouraging people from disadvantaged situations or under-represented groups to enrol in Wintec courses and fully participate in Wintec activities.

3. Providing Equal Opportunities to Students

- 3.1. To maximise the likelihood of success in the chosen programme of study, applicants for any programme may be interviewed and/or asked to complete a short assessment to determine their literacy, numeracy and language abilities, as well as other factors that may impact on success. If an applicant has an impairment (e.g. deafness, visual impairment, mobility problems) that may impact on this assessment, an alternative assessment may be used, in consultation with Student Learning Services.
- 3.2. If Wintec considers an applicant is unlikely to succeed in their chosen programme because of an impairment staff may suggest another programme or offer limited entry to a specified number of modules. Such students should be referred to Student Learning Services for a further assessment to establish the level and type of study assistance needed to maximise their likelihood of success. Staff need to keep in mind that some students may require a full-time programme of study for student allowance / loan purposes, noting that 'limited full-time status' of more than half the full-time course factor for the length of the programme, on grounds of 'academic advice', satisfies StudyLink criteria.
- 3.3. Applicants with an impairment likely to impact on their ability to participate and/or achieve in any aspect of their intended programme, must contact Student Learning Services at the time of enrolment. The purpose of this is for Wintec to undertake an assessment of the student's needs and make arrangements for reasonable accommodation of those needs. Failure to inform Student Learning Services may cause difficulties (to the student or to others) resulting in the student being withdrawn, at the discretion of the Office of the Dean.
- 3.4. Wintec may decline to admit or enrol an applicant whose impairment requires special services or facilities greater than what Wintec can reasonably be expected to provide (in accordance with section 60(1) of the Human Rights Act 1003).

4. Responsibilities

Council	To be aware of legislative, socio-political and other factors relevant to an equal education opportunity institution; To promote and endorse best practice initiatives that ensure Wintec maintains an inclusive and equitable learning environment; To support the Chief Executive in ensuring legislative and social obligations related to equal education opportunity are met, thus reducing the risk of equity-related complaints under the Human Rights Act or other legislation.
Chief Executive	To be aware of legislative, socio-political and other factors relevant to an equal education opportunity institution;

	<p>To promote and endorse best practice initiatives that ensure Wintec maintains an inclusive and equitable learning environment;</p> <p>To take steps that ensures staff understand and meet their responsibilities in relation to equal education opportunity.</p>
Executive	<p>To promote awareness of equity issues and commitment to equal education opportunity amongst staff;</p> <p>To promote and approve resources for the implementation of equity initiatives;</p> <p>Communicate with the Chief Executive regarding the management of equal education opportunity at Wintec.</p>
Centre Directors / Heads of Schools	<p>To ensure staff are aware of legislative, socio-political and other factors relevant to an equal education opportunity institution and inclusive learning environment. This includes:</p> <ul style="list-style-type: none"> • promoting and implementing non-discriminatory philosophies and practices • promoting and supporting reasonable accommodations for students with impairments affecting their likelihood of success; • responding appropriately and efficiently to complaints about discrimination or inequity within the school or service; • bringing to the attention of the relevant Executive member/s any identified barriers to equal education opportunity and working cooperatively to remove these barriers.
Quality and Academic Unit	<p>To ensure all policies, procedures and planning processes promote equal education opportunity and an inclusive learning environment;</p> <p>To ensure policies and procedures related to student complaints, appeals, harassment and disciplinary procedures address equity and impairment issues;</p> <p>Ensure effective monitoring and evaluation processes related to the above are in place.</p>
Wintec Applicants/ Students	<p>To inform Student Learning Services, prior to enrolment where possible, of any disability or other impairment likely to impact on their ability to participate fully or complete all requirements of their intended programme of study (refer Section 2.5 and 2.6, above).</p>

5. Measurements of success

Equal Education Opportunity will be achieved at Wintec when the following are in place:

- The Wintec Council and Executive are aware of Wintec's legal obligations regarding equity and disability and endorse best practice initiatives;
- Factors irrelevant to course and/or vocational requirements do not act as barriers to learning opportunities at Wintec;
- The Wintec student community is culturally diverse and representative of the wider community in terms of Tangata Whenua, ethnicity, gender, marital or parental status, age, religious or political beliefs, country of origin, disability, sexual orientation and economic status (Human Rights Act, 1993);
- No complaints of discrimination or inequity are made against Wintec.

6. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Application forms, Client files	7 years from date of last action	Destroy

SECTION AM2: POLICY ON STUDENT CONCERNS, COMPLAINTS AND APPEALS (AC-08/02)

The policy on Student Concerns, Complaints and Appeals Parts A and B (AC-08/02) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Referred to in Sections AR:A - Review of Academic Decision

Part A: Student Concerns, Complaints and Appeals
Number: AC- 08/02

Policy Owner:	Director, Marketing and Support Services and Dean, Faculty	Date Approved:	August 2008
Category:	Academic	Date Last Revised:	November 2015
Refined category:	Student Support	Next Review Date:	November 2018
Authorised by	Academic Approvals Committee		

Student Concerns, Complaints and Appeals

1. Purpose and Scope

The purpose of this policy is to provide a framework that promotes the timely and fair resolution of concerns, or academic complaints¹ or general complaints raised by students.

This policy applies to all students who have a concern or general or academic complaint about programmes or any services offered. This includes grievances and harassment.

2. Policy Statement

Wintec takes student concerns, complaints and appeals seriously and is committed to ensuring that there is a responsive and equitable process designed to resolve issues in a timely and impartial manner and to improve the institute's performance.

All students and staff are required to follow the established internal processes set out in this policy when seeking a resolution to concerns, complaints and appeals and to act in a manner that respects and upholds the rights of all parties.

Refer Part B1: Student Concerns and Informal Complaints

Refer Part B2: General Formal Complaints and Appeals

Refer Part B3: Review of an Academic Decision and Appeal

¹ Is a type of formal complaint where a student requests the reconsideration of an academic decision, including:

- admission to programmes;
- refusal to permit, or cancellation of, enrolment;
- academic progress (pass/fail);
- transfer of credit and exemptions granted at admission; and
- results of assessments, award of qualifications, grades or distinctions.

Procedures & Principles

Part B1: Student Concerns and Informal Complaints

(as related to Part A: Student Concerns, Complaints and Appeals)

Number: AC-08/02

Policy Manager:	Faculty Operations Coordinator	Date Approved:	August 2008
Category:	Academic	Date Last Revised:	April 2014
Refined category:	Student Support	Next Review Date:	April 2017
Authorised by	Academic Approvals Committee/Chief Executive		

Student Concerns and Informal Complaints

1. Definitions

Academic Decision	A decision related to: <ul style="list-style-type: none">– admission to programmes;– refusal to permit, or cancellation of, enrolment;– academic progress (pass/fail);– transfer of credit and exemptions granted at admission; and– results of assessments, award of qualifications, grades or distinctions
Appeal (Internal Wintec)	A formal request for a decision to be reassessed. Appeals investigate the process followed and can refer the case back to the original decision makers if process was not followed. There are two stages of appeal at Wintec: <ul style="list-style-type: none">– Appeal to the Dean/Director: A formal request for the outcome of a General Formal Complaint (to the Dean/Director) to be reviewed, or a request to the Dean for a Review of an Academic Decision. Appeals look at the process that was followed in the previous review to determine due process was followed. If the decision is overturned, the case is sent back to the Head of School/Centre Director to review their process.– Appeal to the Chief Executive: A formal request for the outcome of the Appeal to the Dean/Director to be reassessed. Appeals look at the process that was followed in the previous review to determine due process was followed.
Appellant	Student appealing a decision (see appeals above).
Complainant	The student expressing a concern or making a formal or informal complaint. Where a group of students lodges a complaint, one member must be nominated to receive all communications on behalf of the group.
Concern	A concern is an expression of disquiet received from a student where no formal written complaint has been received and where a formal response is not required. A student is seeking improvement in a situation where he/she considers appropriate standards have not been met.
Delegated Authority	The person who has been assigned a task, e.g. to investigate a claim, by the Dean, Director, or manager on their behalf
Informal Complaint	A complainant is unhappy with a situation, and makes direct contact with a member of staff, relating the dissatisfaction and seeking a resolution. No formal written complaint has been received, but the complainant is seeking a response.
Formal Complaint	A complainant is unhappy with a situation and submits a signed written statement on the prescribed form detailing the complaint, seeking formal investigation and response. <ul style="list-style-type: none">– Review of an Academic Decision: Is a type of formal complaint where a student formally asks for a review of an Academic Decision (refer definition above). Review of an Academic Decision are referred directly

	to the Dean and treated through the same process as an appeal to the Dean.
	- General Formal Complaint: Is a type of formal complaint where a student formally expresses their dissatisfaction with Wintec in terms of expectations and standards not being met. This includes harassment but excludes academic issues as defined above.
Formal Response	A formal response should be on a Wintec letterhead. A formal response can be sent by traditional mail or emailed to the complainant.
Manager	Head of School, Centre Director, Support Service or Business Unit Manager.
New Zealand Qualifications Authority (NZQA)	NZQA quality assures secondary and tertiary qualifications and education providers, evaluates overseas qualifications and administers the New Zealand Qualifications Framework (NZQF) and Directory of Assessment Standards.
Respondent	The person who, or manager of, the entity which the complaint is about.
Support Person	Person/s (internal or external to Wintec) chosen by the complainant appellant or respondent to provide support or advice to the complainant or appellant.

2. Principles

- 2.1. Students are encouraged to express their concerns and lodge complaints or appeals through the appropriate channels so that Wintec can respond, and apply the learning to ensure continuous improvement.
- 2.2. All expressions of concern, complaints and appeals are taken seriously. Wintec will implement formal investigation and decision-making procedures for written and signed complaints, reconsiderations or appeals only.
- 2.3. The rights of complainants/appellants and respondents are protected, and all parties are treated fairly.
- 2.4. All complainants, appellants and respondents have the right to have a support person present during discussions with staff, with the Dean, or with the Chief Executive.
- 2.5. Personal information relating to complaints or appeals will be treated in strict confidence and provided to third parties only on a 'need to know' basis.
- 2.6. All decisions relating to a complaint or appeal will be evidence-based and considered within the framework of Wintec's Regulatory Framework (Regulations, Policies, Principles, and Procedures).
- 2.7. Wintec reserves the right not to take action related to anonymous complaints, complaints based on hearsay or where insufficient evidence has been provided by the complainant or appellant.
- 2.8. Wintec also reserves the right not to take action where a complaint has been raised more than one month (30 calendar days) after an alleged incident/issue occurred.

3. Concerns

- 3.1. Concerns may be lodged through the Touchscreen computers in the Hub and/or enrolment areas or the designated boxes placed around the Wintec campuses. The concern may also be expressed to a member of staff or raised with student representatives or International pastoral care personnel.
- 3.2. Any staff member advised of a concern will ensure it is forwarded to the relevant School/Centre, support service or business unit with authority to consider the issue and make changes where required. However, a response is not required.

- 3.3. Concerns will not be recorded on the Formal Complaints Database. Each School/Centre, support service or business unit will keep a record of concerns raised and actions taken.

4. Informal Complaints

- 4.1. Any student may raise a concern or issue that they consider requires action and/or response. This should be done within 15 working days of the incident or issue arising, directly with the person/persons involved (referred to as 'the respondent') in the first instance. If the student (referred to as the 'complainant') does not feel safe approaching the respondent directly, they may contact another staff member or lodge a formal complaint instead.
- 4.2. The complainant must provide sufficient detail for the staff member to resolve the issue at that level if possible.
- 4.3. The staff member must make notes of the conversation using the Informal Complaint Record Form as a record. This form must be retained according to the schedule in Section 7 of this policy.
- 4.4. The informal complaint process must be resolved within 30 days of the incident to allow the complainant opportunity to convert their Informal Complaint to a Formal Complaint by completing the appropriate Formal Complaint application form.
- 4.5. Once submitted to the manager, the General Formal Complaints process will be followed.
- 4.6. Informal Complaints and Concerns will be reported to the Quality and Academic Unit Director or delegate on a quarterly basis, to enable trend analysis and action tracking.

5. Summary of Responsibilities

International Office	To ensure that international students are aware of and understand this policy and its requirements and provide guidance and, where requested, support to the student.
Manager	All Managers are required to forward a report quarterly to the Quality and Academic Unit summarising the Informal Complaints (either Academic or General) received and noting any trends and what actions have been taken. All Managers will ensure that their staff are aware of the complaints policy and process and receive appropriate guidance and support in the implementation of these.
Quality Assurance Coordinator	To collate informal complaints and conduct a trend analysis.
Staff	To take all Concerns, Informal Complaints seriously and respond in accordance with the processes outlined in this policy. To ensure that students are aware of this policy and related documentation, in particular the required forms and timelines.
Students	To raise Concerns, Informal Complaints in accordance with the processes detailed in this policy.
Student Advisors (including International)	To ensure that students are aware of and understand this policy and its requirements.

6. Measures of Success

- 6.1. All students are made aware of the policy procedures and processes related to complaints and appeals and follow the processes as stated (with particular reference to use of the correct forms within the stated timeframes).

7. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Notes on Informal complaints (Note: this does not cover those records resulting from disciplinary hearing)	7 years after date of last action (ITP Disposal Authority 2.1.2)	Destroy securely

Procedures & Principles

Part B2: General Formal Complaints and Appeals

(as related to Part A: Student Concerns, Complaints and Appeals)

Number: AC-08/02

Policy Manager:	Faculty Operations Coordinator	Date Approved:	August 2008
Category:	Academic	Date Last Revised:	April 2014
Refined category:	Student Support	Next Review Date:	April 2017
Authorised by	Academic Approvals Committee/Chief Executive		

General Formal Complaints and Appeals

1. Definitions

Academic Decision	A decision related to: <ul style="list-style-type: none">– admission to programmes;– refusal to permit, or cancellation of, enrolment;– academic progress (pass/fail);– transfer of credit and exemptions granted at admission; and– results of assessments, award of qualifications, grades or distinctions
Appeal (Internal Wintec)	A formal request for a decision to be reassessed. Appeals investigate the process followed and can refer the case back to the original decision makers if process was not followed. There are two stages of appeal at Wintec: <ul style="list-style-type: none">– Appeal to the Dean/Director: A formal request for the outcome of a General Formal Complaint (to the Dean/Director) to be reviewed, or a request to the Dean for a Review of an Academic Decision. Appeals look at the process that was followed in the previous review to determine due process was followed. If the decision is overturned, the case is sent back to the Head of School/Centre Director to review their process.– Appeal to the Chief Executive: A formal request for the outcome of the Appeal to the Dean/Director to be reassessed. Appeals look at the process that was followed in the previous review to determine due process was followed.
Appellant	Student appealing a decision (see appeals above).
Complainant	The student expressing a concern or making a formal or informal complaint. Where a group of students lodges a complaint, one member must be nominated to receive all communications on behalf of the group.
Concern	A concern is an expression of disquiet received from a student where no formal written complaint has been received and where a formal response is not required. A student is seeking improvement in a situation where he/she considers appropriate standards have not been met.
Delegated Authority	The person who has been assigned a task, e.g. to investigate a claim, by the Dean, Director, or manager on their behalf
Informal Complaint	A complainant is unhappy with a situation, and makes direct contact with a member of staff, relating the dissatisfaction and seeking a resolution. No formal written complaint has been received, but the complainant is seeking a response.
Formal Complaint	A complainant is unhappy with a situation and submits a signed written statement on the prescribed form detailing the complaint, seeking formal investigation and response. <ul style="list-style-type: none">– Review of an Academic Decision: Is a type of formal complaint where a student formally asks for a review of an Academic Decision (refer definition above). Review of an Academic Decision are referred directly

	to the Dean and treated through the same process as an appeal to the Dean.
	- General Formal Complaint: Is a type of formal complaint where a student formally expresses their dissatisfaction with Wintec in terms of expectations and standards not being met. This includes harassment but excludes academic issues as defined above.
Formal Response	A formal response should be on a Wintec letterhead. A formal response can be sent by traditional mail or emailed to the complainant.
Manager	Head of School, Centre Director, Support Service or Business Unit Manager.
New Zealand Qualifications Authority (NZQA)	NZQA quality assures secondary and tertiary qualifications and education providers, evaluates overseas qualifications and administers the New Zealand Qualifications Framework (NZQF) and Directory of Assessment Standards.
Respondent	The person who, or manager of, the entity which the complaint is about.
Support Person	Person/s (internal or external to Wintec) chosen by the complainant appellant or respondent to provide support or advice to the complainant or appellant.

2. Principles

- 2.1. Students are encouraged to express their concerns and lodge complaints or appeals through the appropriate channels so that Wintec can respond, and apply the learning to ensure continuous improvement.
- 2.2. All expressions of concern, complaints and appeals are taken seriously. Wintec will implement formal investigation and decision-making procedures for written and signed complaints, reconsiderations or appeals only.
- 2.3. The rights of complainants/appellants and respondents are protected, and all parties are treated fairly.
- 2.4. All complainants, appellants and respondents have the right to have a support person present during discussions with staff, with the Dean, or with the Chief Executive.
- 2.5. Personal information relating to complaints or appeals will be treated in strict confidence and provided to third parties only on a 'need to know' basis.
- 2.6. All decisions relating to a complaint or appeal will be evidence-based and considered within the framework of Wintec's Regulatory Framework (Regulations, Policies, Principles, and Procedures).
- 2.7. Wintec reserves the right not to take action related to anonymous complaints, complaints based on hearsay or where insufficient evidence has been provided by the complainant or appellant.
- 2.8. Wintec also reserves the right not to take action where a complaint has been raised more than one month (30 calendar days) after an alleged incident/issue occurred.

3. Delegated Authority

- 3.1. This policy states the role that is held accountable for any decision made within that process. The practical handling and investigation of a formal complaint or appeal can be delegated by the stated role to a person with the skills and expertise to undertake the required tasks. The delegated authority must:
 - a) Not be the same person who made the original decision;
 - b) Have no conflict of interest

- 3.2. If a general formal complaint or appeal has been delegated to another staff member to investigate and respond to, then the complainant/appellant must be made aware that the delegated authority is acting on behalf of the role of responsibility, e.g. Manager/Dean/Director/CE.
- 3.3. Ultimately the role specified in the complaint or appeal process is responsible and accountable for the decisions made on their behalf.

4. General Formal Complaints

- 4.1. A formal complaint may result from the non-resolution of an informal complaint or directly from an incident or issue. (Refer part B1: Student Concerns and Informal Complaints clauses 4.4 and 4.5.)
- 4.2. Where a formal complaint arises directly from an incident or issue, the signed Formal Complaint Form must be received by the relevant manager within 15 working days of that incident or issue. Formal Complaint Forms can be sourced from Wintec's Student Enrolment and Information Centre or My Learning.
- 4.3. Within 5 working days of receiving the signed Formal Complaint Form, the manager will send a letter of acknowledgement that outlines the process, establishes a meeting time and informs the complainant of their right to be accompanied by a support person.
- 4.4. The manager will ensure that the complaint is logged in the Formal Complaints Database, attaching the Formal Complaint Form and any notes recorded.
- 4.5. The manager will meet with the complainant to confirm the details of the complaint and will record this meeting in notes and attach them to the file in the Complaints and Appeals Database.
- 4.6. The manager will conduct the investigation in conjunction with one other manager, and at least one other staff member.
 - a) The manager will inform the complainant of the process to be used, what information will be considered, when the investigation commences and when the investigation is likely to be completed.
 - b) Where the outcome of an investigation could result in staff misconduct or serious misconduct, Human Resources is to be notified. Human Resources will inform the manager of the process to be followed (refer to the Staff Discipline policy).
 - c) The investigator(s) must consider the complaint in accordance with the principles of natural justice, and must ensure that all parties to the complaint are accorded the full benefit of those principles.
- 4.7. A formal response from the manager will be sent to the complainant stating the decision made and the evidence that led to it, and, where applicable, noting the application of Wintec Policies to the issues raised. The formal response will note that if the complainant is not satisfied with the decision they may lodge an appeal through the Office of the Dean (refer to text below).

You have the right to appeal this decision by submitting an application in writing to the Dean of the Faculty, within 15 working days of this formal response. For further information on this process please contact Wintec's Student Enrolment and Information Centre.

- 4.8. A copy of the letter will be added to the details in the Formal Complaints Database, and where the complainant is satisfied with the outcome, the case will be closed.

5. Appeal Against the Decision of a General Formal Complaint

- 5.1. Where the complainant is not satisfied with the outcome of a General Formal Complaint, they may appeal by applying in writing to the Office of the Dean within 15 working days of receiving the decision.
- a) A complainant can appeal a manager's decision in response to a General Formal Complaint; in this case, the complainant is referred to as the 'appellant'.
 - b) The appeal must be based on demonstrated inadequacy in considering or applying the Programme or Academic Regulations or relevant Wintec Policies, Principles and Procedures, and/or inaccurate or incomplete information.
 - c) Appeal application forms are available from and must be submitted at Wintec's Student Enrolment and Information Centre.
 - d) Applicants must attach to this form:
 - i. a letter to the Dean/Director stating the reason/s for the appeal; and
 - ii. a copy of the letter from the manager (or delegated authority) for which they are appealing a decision/outcome; and
 - iii. any supporting evidence.
- 5.2. The Dean will acknowledge, investigate, record and respond to all appeal cases regarding General Formal Complaints related to the Faculty. The Dean will forward all non-Faculty related appeals, along with the *Formal Complaints Database case details*, to the relevant Director or Manager to acknowledge, investigate, record and respond to (refer to process below).
- 5.3. The appellant will receive an acknowledgement from The Office of the Dean or relevant Director/Manager within 5 working days of it being received. The acknowledgement will
- a) acknowledge receipt of the appeal; and
 - b) advise the appellant that the Dean/Director will get back to them with a response within a specified timeframe
- 5.4. The Dean/Director will review the procedures and processes followed by the Manager when considering the outcome of the Formal Complaint to determine whether due process was followed.
- 5.5. The role of the Dean/Director is to hear the appeal, including the perspectives of the appellant and respondent, and to arrive at a decision. All evidence will be taken into consideration, with reference to the relevant Wintec regulation/s and policies. The Dean/Director will determine whether the correct procedures were followed during other stages of the previous investigation/review process.
- 5.6. The Dean/Director may:

- a) Uphold the appeal on the grounds that the School/Centre, Support Service or Business Unit did not adequately follow the relevant policy, procedures or regulations when making their decision.
 - b) Decline the appeal and confirm the original decision of the Manager.
- 5.7. As a result of the appeal, the Dean/Director can instruct the relevant School/Centre, Support Service or Business Unit Manager to make changes in process or procedure, or implement new processes or procedures.
- 5.8. The Dean/Director will formally respond to the appellant outlining the outcome of the appeal within 5 working days of the final meeting, including a summary of any changes to process or procedures that will be implemented in response to the appeal. The formal response will advise the appellant that they have the right to appeal the decision to Wintec's Chief Executive (CE) within 15 working days (refer to text below).

You have the right to appeal this decision by submitting an application in writing to the Chief Executive within 15 working days of this notification. For further information on this process, please contact Wintec's Student Enrolment and Information Centre.

- 5.9. The Dean/Director will update the Formal Complaints Database with information pertaining to an appeal, e.g. a copy of the appellant's application; any meeting or investigation notes and the formal response to the student. If not satisfied with the decision and/or process followed, the appellant may request their appeal be considered by the Chief Executive.
- 5.10. The Quality Assurance Coordinator will submit a report related to appeals against the decisions of all General Formal Complaints to the Executive biannually.

6. Final Appeal to the Chief Executive

- 6.1. The appellant can appeal a decision made by the Dean or Director by sending a letter to the Chief Executive stating the grounds for the appeal within 15 working days of receiving the decision from the Dean/Director. A copy of the Dean/Director's decision and support evidence must be attached.
- a) Appeals to Wintec's Chief Executive must be submitted in writing at Wintec's Student Enrolment and Information Centre.
- 6.2. The Chief Executive will consider the appeal in terms of due process within the context of Wintec's policies and procedures and respond to the appellant within 20 working days. Students will be formally notified of the outcome of the appeal.
- 6.3. The Chief Executive's decision is final. If the appellant is still dissatisfied, they will be informed of their right to refer the matter to the Office of the Ombudsman or the New Zealand Qualifications Authority.

7. Summary of Responsibilities

Dean/Director	To consider the evidence presented for the purpose of determining whether an appeal against the outcome of a formal complaint is to be upheld and, if so, what remedies and/or actions are to be taken.
Chief Executive	To consider appeals against the decisions of the Dean or Director based on evidence provided, to determine whether due process has been followed and whether or not the appeal should be upheld.
International Office	To ensure that international students are aware of and understand this policy and its requirements and provide guidance and, where requested, support to the student.
Manager	All Managers (including Heads of School, Centre Directors and Support Service or Business Unit Managers) are responsible for the management of the Formal Complaints, ensuring that the appropriate database is updated and the case closed once resolved. All Managers are required to forward a report quarterly to the Quality and Academic Unit summarising the General Formal Complaints received and noting any trends and what actions have been taken. All Managers will ensure that their staff are aware of the applicable policy and process and receive appropriate guidance and support in the implementation of these.
Quality Assurance Coordinator	To collate general formal complaints from the Formal Complaints database and report to the Executive twice a year.
Office of the Dean	To initially receive and record all Appeals and with investigating, responding to and recording all Academic and Faculty based General appeals. To forward non-Academic and Faculty based General appeals to the person responsible with investigating, responding to and recording that particular appeal.
SEIC	To deliver all General Formal Complaints to the relevant Manager within 5 working days of it being submitted. To deliver all Appeals to the Deans Office within 5 working days of an appellant submitting their application.
Staff	To take all Concerns, Informal and Formal Complaints (either Academic or General) seriously and respond in accordance with the processes outlined in this policy. To ensure that students are aware of this policy and related documentation, in particular the required forms and timelines.
Students	To raise Concerns, Informal and Formal Complaints (either Academic or General) in accordance with the processes detailed in this policy.
Student Advisors (including International)	To ensure that students are aware of and understand this policy and its requirements.
Support Person	A person (external or internal) chosen by the complainant or appellant to attend any meetings and provide support or advice. The support person may not speak on behalf of the complainant or appellant unless this is agreed by the respondent, Dean or Chief Executive.

8. Measures of Success

- 8.1. All students are made aware of the policy procedures and processes related to complaints and appeals and follow the processes as stated (with particular reference to use of the correct forms within the stated timeframes).
- 8.2. At least 90% of all General Formal Complaints are resolved within Wintec without appeal to the Chief Executive.

9. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Notes on General Formal Complaints (Note: this does not cover those records resulting from disciplinary hearing)	7 years after date of last action (ITP Disposal Authority 2.1.2)	Destroy securely
Appeals (Dean's and CE's) Minutes and correspondence	10 years after date of last action (ITP Disposal Authority 2.1.3)	Destroy securely

Part B3: Review of an Academic Decision and Appeal
(as related to Part A: Student Concerns, Complaints and Appeals)
 Number: AC-08/02

Policy Manager:	Faculty Operations Coordinator	Date Approved:	August 2008
Category:	Academic	Date Last Revised:	April 2014
Refined category:	Student Support	Next Review Date:	April 2017
Authorised by	Academic Approvals Committee/Chief Executive		

Review of an Academic Decision and Appeal

1. Definitions

Academic Decision	<p>A decision related to:</p> <ul style="list-style-type: none"> – admission to programmes; – refusal to permit, or cancellation of, enrolment; – academic progress (pass/fail); – transfer of credit and exemptions granted at admission; and – results of assessments, award of qualifications, grades or distinctions
Appeal (Internal Wintec)	<p>A formal request for a decision to be reassessed. Appeals investigate the process followed and can refer the case back to the original decision makers if process was not followed. There are two stages of appeal at Wintec:</p> <ul style="list-style-type: none"> – Appeal to the Dean/Director: A formal request for the outcome of a General Formal Complaint (to the Dean/Director) to be reviewed, or a request to the Dean for a Review of an Academic Decision. Appeals look at the process that was followed in the previous review to determine due process was followed. If the decision is overturned, the case is sent back to the Head of School/Centre Director to review their process. – Appeal to the Chief Executive: A formal request for the outcome of the Appeal to the Dean/Director to be reassessed. Appeals look at the process that was followed in the previous review to determine due process was followed.
Appellant	Student appealing a decision (see appeals above).
Complainant	The student expressing a concern or making a formal or informal complaint. Where a group of students lodges a complaint, one member must be nominated to receive all communications on behalf of the group.
Concern	A concern is an expression of disquiet received from a student where no formal written complaint has been received and where a formal response is not required. A student is seeking improvement in a situation where he/she considers appropriate standards have not been met.
Delegated Authority	The person who has been assigned a task, e.g. to investigate a claim, by the Dean, Director, or manager on their behalf
Informal Complaint	A complainant is unhappy with a situation, and makes direct contact with a member of staff, relating the dissatisfaction and seeking a resolution. No formal written complaint has been received, but the complainant is seeking a response.
Formal Complaint	<p>A complainant is unhappy with a situation and submits a signed written statement on the prescribed form detailing the complaint, seeking formal investigation and response.</p> <ul style="list-style-type: none"> – Review of an Academic Decision: Is a type of formal complaint where a student formally asks for a review of an Academic Decision (refer definition above). Review of an Academic Decision are referred directly to the Dean and treated through the same process as an appeal to the Dean.

	- General Formal Complaint: Is a type of formal complaint where a student formally expresses their dissatisfaction with Wintec in terms of expectations and standards not being met. This includes harassment but excludes academic issues as defined above.
Formal Response	A formal response should be on a Wintec letterhead. A formal response can be sent by traditional mail or emailed to the complainant.
Manager	Head of School, Centre Director, Support Service or Business Unit Manager.
New Zealand Qualifications Authority (NZQA)	NZQA quality assures secondary and tertiary qualifications and education providers, evaluates overseas qualifications and administers the New Zealand Qualifications Framework (NZQF) and Directory of Assessment Standards.
Respondent	The person who, or manager of, the entity which the complaint is about.
Support Person	Person/s (internal or external to Wintec) chosen by the complainant appellant or respondent to provide support or advice to the complainant or appellant.

2. Principles

- 2.1. Students are encouraged to express their concerns and lodge complaints or appeals through the appropriate channels so that Wintec can respond, and apply the learning to ensure continuous improvement.
- 2.2. All expressions of concern, complaints and appeals are taken seriously. Wintec will implement formal investigation and decision-making procedures for written and signed complaints, reconsiderations or appeals only.
- 2.3. The rights of complainants/appellants and respondents are protected, and all parties are treated fairly.
- 2.4. All complainants, appellants and respondents have the right to have a support person present during discussions with staff, with the Dean, or with the Chief Executive.
- 2.5. Personal information relating to complaints or appeals will be treated in strict confidence and provided to third parties only on a 'need to know' basis.
- 2.6. All decisions relating to a complaint or appeal will be evidence-based and considered within the framework of Wintec's Regulatory Framework (Regulations, Policies, Principles, and Procedures).
- 2.7. Wintec reserves the right not to take action related to anonymous complaints, complaints based on hearsay or where insufficient evidence has been provided by the complainant or appellant.
- 2.8. Wintec also reserves the right not to take action where a complaint has been raised more than one month (30 calendar days) after an alleged incident/issue occurred.

3. Delegated Authority

- 3.1. This policy states the roles of responsibility, e.g. the role that is held accountable for any decision made within that process. The practical handling and investigation of a formal complaint or appeal can be delegated by the stated role to a person with the skills and expertise to undertake the required tasks. The delegated authority must:
 - a) Not be the same person who made the original decision;
 - b) Have no conflict of interest

- 3.2. If a Review of an Academic Decision or appeal has been delegated to another staff member to investigate and respond to, then the complainant/appellant must be made aware that the delegated authority is acting on behalf of the role of responsibility, e.g. Manager/Dean/Director/CE.
- 3.3. Ultimately the role specified in the complaint or appeal process is responsible and accountable for the decisions made on their behalf.

4. Review Against an Academic Decision made by a Head of School/Centre Director

- 4.1. Where the complainant is not satisfied with the outcome of an Academic Decision, they may appeal by applying in writing to the Office of the Dean within 15 working days of receiving the decision.
 - a) As an Academic Decision is made by, or on behalf of, the Head of School/Centre Director, then the formal complaint is referred directly to the Dean and treated as an Appeal to the Dean.
 - b) As a complainant can appeal a Head of School/Centre Director's decision in response to an Academic Decision; the complainant is referred to as the 'appellant'.
 - c) In general, the appeal must be based on demonstrated inadequacy in considering or applying the Programme or Academic Regulations or relevant Wintec Policies, Principles and Procedures, and/or inaccurate or incomplete information.
 - d) The following Reviews of an Academic Decision have specific conditions as detailed below:
 - i A Review of an Academic Decision based on an item of assessment is termed a 'Reconsideration of Marks and Grades'.
 - 1) A reconsideration of marks or grade is a student's formal request to reassess an item of assessment based on the student's claim that assessment practices (validity, reliability, authenticity, sufficiency, fairness, and openness) have been compromised.
 - 2) Reconsideration of Marks and Grades is not based on impaired preparation, attendance, or performance. If a student is concerned their preparation, attendance or performance was impaired for an assessment, then an application for **Special Consideration** must be submitted within the regulated timeframe.
 - 3) All claims must be substantiated and the burden of proof falls to the student to prove breach of assessment practice.
 - 4) Where the assessment has been returned to the student, the work must be resubmitted with the application.
 - ii A Review of an Academic Decision based on a student's overall final grade is termed a 'Reconsideration of Final Grade'.
 - iii A Reconsideration of Final Grade can take the form of:

- 1) **Recount of Marks:** a recheck of allocated marks for all assessments that contribute to the final grade. There is no remarking in a Recount.
 - 2) **Review and Remark:** A formal request to have all items of assessment reviewed and remarked (not by the original assessor) against the original marking criteria/schedule. If further investigation is authorised, the Head of School/Centre Director will inform the student in writing of the following:
 - 1) That the Programme Committee has determined there are grounds for further investigation of the claim;
 - 2) The timeframe for investigation;
 - 3) That once the investigation is complete the student will be notified in writing of the outcome;
 - 4) Further investigation could warrant the student being interviewed
- e) Appeal application forms are available from and must be submitted at Wintec's Student Enrolment and Information Centre.
- f) Applicants must attach to this form:
- iv. a letter to the Dean stating the reason/s for the appeal; and
 - v. a copy of the letter from the Head of School/Centre Director for which they are appealing a decision/outcome; and
 - vi. any supporting evidence.
- 4.2. There is a fee for all appeals against a decision of an Academic Decision. This fee will be refunded if the appeal is successful. Please refer to the Appeal Form for more information.
- 4.3. The Dean will acknowledge, investigate, record and respond to all appeal cases regarding Academic Decisions.
- 4.4. The appellant will receive an acknowledgement from The Office of the Dean within 5 working days of it being received. The acknowledgement will
- a) acknowledge receipt of the appeal; and
 - b) advise the appellant that the Dean will get back to them with a response within a specified timeframe
- 4.5. The Dean will review the procedures and processes followed by the Head of School/Centre Director when considering the outcome of the Academic Decision to determine whether due process was followed.
- 4.6. The role of the Dean is to hear the appeal, including the perspectives of the appellant and respondent, and to arrive at a decision. All evidence will be taken into consideration, with reference to the relevant Wintec regulation/s and policies. The Dean will determine whether the correct procedures were followed during other stages of the previous investigation/review process.

- 4.7. The Dean may:
- a) Uphold the appeal on the grounds that the School/Centre, did not adequately follow the relevant policy, procedures or regulations when making their decision.
 - b) Decline the appeal and confirm the original decision of the Head of School/Centre Director.
- 4.8. As a result of the appeal, the Dean can instruct the relevant School/Centre, to make changes in process or procedure, or implement new processes or procedures.
- 4.9. The Dean will formally respond to the appellant outlining the outcome of the appeal² within 5 working days of the final meeting, including a summary of any changes to process or procedures that will be implemented in response to the appeal. The formal response will advise the appellant that they have the right to appeal the decision to Wintec's Chief Executive (CE) within 15 working days (refer to text below).

You have the right to appeal this decision by submitting an application in writing to the Chief Executive with 15 working days of this notification. For further information on this process, please contact Wintec's Student Enrolment and Information Centre.

- 4.10. The Dean will update the Formal Complaints Database with information pertaining to an appeal, e.g. a copy of the appellant's application; any meeting or investigation notes and the formal response to the student. If not satisfied with the decision and/or process followed, the appellant may request their appeal be considered by the Chief Executive.
- 4.11. The Office of the Dean will submit a report related to the Reviews of an Academic Decisions to the Academic Board biannually.

5. Final Appeal to the Chief Executive

- 5.1. The appellant can appeal a decision made by the Dean by sending a letter to the Chief Executive stating the grounds for the appeal within 15 working days of receiving the decision from the Dean. A copy of the Dean's decision and support evidence must be attached.
- a) Appeals to Wintec's Chief Executive must be submitted in writing at Wintec's Student Enrolment and Information Centre.
- 5.2. The Chief Executive will consider the appeal in terms of due process within the context of Wintec's policies and procedures and respond to the appellant within 20 working days. Students will be formally notified of the outcome of the appeal.
- 5.3. The Chief Executive's decision is final. If the appellant is still dissatisfied, they will be informed of their right to refer the matter to the Office of the Ombudsman or the New Zealand Qualifications Authority.

6. Changes in Results or Permissions to Progress

² A copy should be sent to Academic Services as appropriate

- 6.1. Any changes to student results, entry or progression requirements proposed as a resolution to the review of an Academic Decision, or appeal must be approved by the relevant Programme Committee prior to confirming the changes with the student, in accordance with the Academic Regulations.
- 6.2. Where a decision is approved by the Head of School/Centre Director it must be ratified by the Programme Committee and included in the minutes, prior to confirming the changes with the student, in accordance with the Academic Regulations and Programme Regulations.

7. Summary of Responsibilities

Dean/Director	To consider the evidence presented for the purpose of determining whether an appeal against the outcome of a formal complaint is to be upheld and, if so, what remedies and/or actions are to be taken.
Chief Executive	To consider appeals against the decisions of the Dean/Director based on evidence provided, to determine whether due process has been followed and whether or not the appeal should be upheld.
International Office	To ensure that international students are aware of and understand this policy and its requirements and provide guidance and, where requested, support to the student.
Manager	All Managers will ensure that their staff are aware of the complaints policy and process and receive appropriate guidance and support in the implementation of these.
Office of the Dean	To initially receive and record all Appeals and with investigating, responding to and recording all Academic and Faculty based General appeals. To forward non-Academic and Faculty based General appeals to the person responsible with investigating, responding to and recording that particular appeal.
SEIC	To deliver all Reviews of an Academic Decision to the Dean within 5 working days of it being submitted. To deliver all Appeals against a decision of a General Formal Complaint to the Deans Office within 5 working days of an appellant submitting their application.
Staff	To take all Concerns, Informal and Formal Complaints (either Academic or General) seriously and respond in accordance with the processes outlined in this policy. To ensure that students are aware of this policy and related documentation, in particular the required forms and timelines.
Students	To raise Concerns, Complaints and Reviews (either Academic or General) in accordance with the processes detailed in this policy.
Student Advisors (including International)	To ensure that students are aware of and understand this policy and its requirements.
Support Person	A person (external or internal) chosen by the complainant or appellant to attend any meetings and provide support or advice. The support person may not speak on behalf of the complainant or appellant unless this is agreed by the respondent, Dean or Chief Executive.

8. Measures of Success

- 8.1. All students are made aware of the policy procedures and processes related to complaints and appeals and follow the processes as stated (with particular reference to use of the correct forms within the stated timeframes).
- 8.2. At least 90% of Reviews of an Academic Decision are resolved within Wintec without appeal to the Chief Executive.

9. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Notes on Reviews of an Academic Decision (Note: this does not cover those records resulting from disciplinary hearing)	7 years after date of last action (ITP Disposal Authority 2.1.2)	Destroy securely
Appeals (Dean's and CE's) Minutes and correspondence	10 years after date of last action (ITP Disposal Authority 2.1.3)	Destroy securely

SECTION AM3: POLICY ON STUDENT FEES AND REFUNDS – DOMESTIC 2015 (OP-01/07)

The policy on Student Fees and Refunds – Domestic 2015 Parts A and B (OP-01/07) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Referred to in Section AR:2 - Enrolment and Fees of the Academic Regulations.

Part A: Student Fees and Refunds – Domestic 2016
Number: OP-01/07

Policy Owner	Chief Financial Officer	Date Approved:	August 2001
Category:	Operational	Date Last Revised:	June 2015
Refined category:	Finance & Legal	Next Review Date:	June 2016
Authorised by	Finance and Risk Committee		

Student Fees and Refunds – Domestic 2016

1. Purpose and Scope

The Student Fees and Refunds Policy has been developed to:

- Ensure that fees to students are charged on a consistent basis.
- Respond to requests for refunds on a consistent basis.
- Adopt an equitable approach to fee payments for all students.
- Enable revenue from tuition fees to be accurately calculated for budgeting purposes.
- Define internal responsibilities.

This policy will apply to fees for Tertiary Education Commission (TEC) funded programmes. Fees for other programmes are generally managed via a contract and are not covered by this policy.

2. Policy Statement

Tuition fees for domestic students enrolled in TEC funded programmes will be determined annually and approved by Wintec Council in accordance with TEC requirements.

Tuition fees for international students will be determined annually and approved by Wintec Council (see Policy OP-07/17).

Independent activity fees will be determined by Schools and Centres in accordance with TEC requirements.

Other charges may be made from time to time and are included in a schedule published on the website.

All fees and charges must be paid in full by the start date of the programme. If fees are not paid within the required period, students will not be permitted to attend class, and their place in the programme may be offered to another applicant.

Refunds of tuition fees will be permitted up to the 10% point of a programme for domestic students only.

All fees include Goods and Services Tax (GST).

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Part B: Student Fees and Refunds – Domestic 2016

Number: OP-01/07

Policy Manager:	Finance Manager	Date Approved:	August 2001
Category:	Operational	Date Last Revised:	June 2015
Refined category:	Finance & Legal	Next Review Date:	June 2016
Authorised by	Finance and Risk Committee		

Student Fees and Refunds – Domestic 2016

1. Definitions

Fees paid by students comprise the following:

Tuition fees:	The base fee is calculated for each course for domestic students by applying the course factor to the per EFTS fee.
Independent activities:	A compulsory charge calculated at course level by a School for a consumable or service over and above what can be expected to be included in course materials. For each charge to a student there is an equal value cost to a School; however the value of the total fee must comply with TEC requirements.
Students Association:	A fee charged on behalf of the Students' Association and calculated on a course basis. Students' Association fees are approved by Council.
Other charges:	Other miscellaneous charges may be made from time to time and are published on the Wintec website

2. Procedures

2.1. Calculation of Fees

- a) All students accepted into a programme of study will be sent an Enrolment Offer (excluding tuition fee free programmes and short courses) which must be signed and returned to Wintec.
- b) On receipt of the signed Enrolment Offer Wintec will send an Indicator of Fees (excluding tuition fee free programmes and short courses).
- c) The due date for payment is the start date of the programme.
- d) A late payment fee may apply where fees are not paid within 14 days of the payment due date.
- e) Fee payments can be made using: Cash, cheque, EFTPOS, credit card, Study Link loan, on-line and employer invoice facilities are available, or
 - Mailed to the Student Enrolment and Information Centre, Wintec, Private Bag 3036, Waikato Mail Centre, Hamilton 3240, or
 - Made in person at: A Block, City Campus, Student Enrolment and Information Centre: Rotokauri Hub, Rotokauri Campus, Reception area: Te Kuiti Campus or Thames Campus, or

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Part B: Student Fees and Refunds – Domestic 2016

Number: OP-01/07

- Made on-line using your credit card by logging on to our Student at Wintec website at <http://enrol.wintec.ac.nz> and pay by invoice under the Finance menu at the student@wintec website.
- f) Students who choose not to pay their fees by student loan have the option to pay semester by semester. The due date for payment is the start date of the programme per semester.
- g) Once the Enrolment Offer has been signed, the student is liable for the debt to Wintec. This liability is not reduced in any way if the student does not attend all sessions.
- h) Upon enrolment students are eligible to receive a Student ID Card which gives access to Wintec services, e.g. library, computer labs and entrance to Wintec student car parking (fees are still applicable). If fees are not paid, access will be removed accordingly.
- i) If student's fees are to be paid by a third party, Wintec requires a completed purchase order or [Student Fees Paid by Third Party form](http://www.wintec.ac.nz/seic/Pages/Forms.aspx) (available on the Wintec website <http://www.wintec.ac.nz/seic/Pages/Forms.aspx>) on or before the programme or course commences.

2.2. Non-payment of Fees

If fees have not been paid by the due date stated on the Indicator of Fees, the debt recovery process will begin. The process is as follows:

- a) Students will be sent a First Fee Reminder on the first day of their programme.
- b) Two weeks into the programme a Final Fee Reminder is sent, advising the student may incur a late payment fee.
- c) Two weeks after the Final Fee Reminder letter, a debt collection referral letter is sent, advising that immediate payment is required, to avoid the debt being placed with the debt collection agency.
- d) If payment is not made immediately any outstanding debt will be placed with a debt collection agency.

Note: Any students accepted late into a programme and enrolled into courses after they have started will be required to pay their fees within one week after which the debt recovery process will begin.

The impact of non-payment of fees may include the following consequences:

- No further access to class
- Work will not be marked
- All results will be withheld
- Qualifications will not be awarded
- Further enrolments will not be accepted

Procedures & Principles

Part B: Student Fees and Refunds – Domestic 2016

Number: OP-01/07

- Academic records will not be transferred
- Access to student services such as library and computer will be removed.

2.3. Withdrawals and Refunds

- a) If a student wishes to withdraw from any Wintec programme or course, they must notify Wintec in writing by completing a [Change to Enrolment or Withdrawal \(EDC2W\) form](#) available from the Student Enrolment and Information Centre, and on the Wintec website.
- b) Students receiving a student loan or allowance and withdraw from a course must contact Study Link 0800 889 900 or e-mail: Studylink@msd.govt.nz – immediately.
- c) Students will receive a full refund if Wintec cancels a course.
- d) A refund of tuition fees will only apply if the date of withdrawal occurs before the 10% point of the programme or course duration. The date of withdrawal is the date that Wintec receives written notification of the withdrawal.
- e) Where a student has not attended a course or programme at all a withdrawal may be processed by the School or Centre as part of the verification of attendance process.
- f) An administration charge will be withheld from the amount refunded.
- g) There will be no administration charge if students are transferring to another programme or course within Wintec.
- h) Refunds of departmental fees (i.e. independent activity fees, sundry fees) are at the discretion of each Head of School.
- i) After 10% of the programme or course, a refund will only be considered for medical or compassionate circumstances beyond the control of the student. Supporting documentation must be provided (e.g. medical certificate) to the Head of School. A recommendation will be made to the Director Marketing and Support for approval of the refund.
- j) A student withdrawing after the 75% point of a module will receive a DNC on their academic transcript except for medical or compassionate circumstances outlined above.
- k) If a student's fee has been paid by a recognised third party (including student loan), any refund will be paid back to the third party unless the student produces written authority from the third party authorising the payment to be paid directly to the student.
- l) The Chief Financial Officer has the authority to vary criteria in special cases, e.g. death of a student.
- m) Any credit balance up to \$10 may be written off on completion of the student's programme, or at the end of the year whichever is the earliest.

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Part B: Student Fees and Refunds – Domestic 2016

Number: OP-01/07

- n) Applications for refunds must be received by Wintec no later than 3 months after the start date of the programme with the exception of 2.3.i and 2.3.l.

3. Measurements of success

- Fees to students charged on consistent basis.
- Requests for refunds responded to on a consistent basis.
- Equitable approach to fee payments adopted for all students.
- Revenue from tuition fees accurately calculated.
- Internal responsibilities defined.

4. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Enrolment applications	10 years after date of last action	Destroy
Invoicing and receipting of student fees and charges for other services	7 years after date of last action	Destroy

SECTION AM4: POLICY ON STUDENT FEES AND REFUNDS – INTERNATIONAL 2015 (OP-07/17)

The policy on Student Fees and Refunds – International 2015 Parts A and B (OP-07/17) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Referred to in Section AR:2 – Enrolment and Fees of the Academic Regulations.

Part A: Student Fees and Refunds – International 2016
Number: OP-07/17

Policy Owner	Chief Financial Officer	Date Approved	June 2007
Category:	Operational	Date Last Revised:	June 2014
Refined category:	Finance & Legal	Next Review Date:	June 2015
Authorised by	Finance and Risk Committee		

Student Fees and Refunds – International 2016

1. Purpose and Scope

The Student Fees and Refunds Policy has been developed to:

- Ensure that international fees to students are charged on a consistent basis.
- Respond to requests for international refunds on a consistent basis.
- Adopt an equitable approach to international fees payments for all students.
- Enable revenue from international full fee paying students to be accurately calculated for budgeting purposes.
- Define internal responsibilities.

This policy will apply to full fee paying students. Fees for other courses are generally managed via a contract and are not covered by this policy.

2. Policy Statement

Tuition fees for International students enrolled in Wintec programmes and short awards/modules will be determined annually and approved by Wintec Council.

Other charges, including independent activity fees may be made from time to time and are included in a schedule published on Wintec's website.

International fees may according to the requirements of the student include airport levies, home stay accommodation placement fees, health insurance or other charges appropriate for the needs of the student.

All fees and charges must be paid in full by the start date of the programme. If fees are not paid within the required period, students will not be permitted to attend class, and their place in the programme may be offered to another applicant.

Refunds of tuition fees will be permitted up to two weeks before the commencement of the programme.

All fees include Goods and Services Tax (GST).

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Part B: Student Fees and Refunds – International 2016

Number: OP-07/17

Policy Manager:	Finance Manager	Date Approved:	June 2007
Category:	Operational	Date Last Revised:	June 2015
Refined category:	Finance & Legal	Next Review Date:	June 2016
Authorised by	Finance and Risk Committee		

Student Fees and Refunds – International 2016

1. Definitions

Fees paid by international students comprise the following:

Code of Practice:	The purpose of this Code is to provide a framework for education providers for the pastoral care of international students. The Code is established under section 238F of the Education Act 1989. The Act requires that a provider must be a signatory to the Code to enrol international students, revised 2010.
Independent activities:	A compulsory charge calculated at course level by a School or Centre for a consumable or service over and above what can be expected to be included in course materials. For each charge to a student there is an equal value cost to a School or Centre. The value of the total fee must comply with TEC requirements.
Interim Visa:	<p>‘Interim visas’ are a new type of visa introduced by the Immigration Act for 2009. From 07 February 2011, they may be granted to maintain a person’s lawful status in New Zealand, where he or she:</p> <ul style="list-style-type: none">• Holds a valid temporary visa, and• Has applied for a further temporary visa. <p>The aim is to benefit visitors, foreign students and workers who wish to extend their stay in New Zealand.</p>
Signatory:	Means a provider that has applied to be and has been granted approval by the Administrator as a signatory to the Code, and approved to enrol international students.
Tuition fees:	The fee for international students is calculated on a programme basis. For a programme of study less than or greater than 1.0 ECTS, the fee is calculated by applying the course factor to the programme fee.
Students Association:	<p>These fees are now strictly voluntary. Please contact Students’ Association for further information. Students’ Association contact details are:</p> <p>Phone: (0064) 7 838 0557</p> <p>Text: (0064) 27 324 1588</p> <p>E-mail: sawit@wintec.ac.nz</p> <p>Facsimile: (0064) 7 858 7535</p>
Other charges:	Other miscellaneous charges may be made from time to time and are published on the Wintec website

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2. Procedures

2.1. Calculation of Fees

- a) Wintec Council approves tuition fees annually.

2.2. Payment of Fees – New Students

- a) All international students accepted into a programme of study will be sent an Offer of Place, information pack and acceptance form and payment details.
- b) On receipt of payment, Wintec will send a Paid receipt.
- c) Fee payments may be made in the international students' home country before applying for a student visa.
- d) Upon payment of fees and once international students have arrived at Wintec and chosen their modules, they will receive a Student Identification Card (ID Card) which gives access to Wintec services, e.g. library and computer labs.
- e) A late payment fee of NZ\$105.00 will apply where fees are not paid by the due date.
- f) All students who are in receipt of an agreed full fees scholarship will be sent specific conditions related to their payment of fees.

2.3. Payment of Fees – Existing/Return Students

- a) All international students accepted into a programme of study will be sent an enrolment offer which must be signed and returned to Wintec.
- b) On receipt of the signed enrolment offer, Wintec will send an Indicator of Fees.
- c) The last date for payment is the start date of the programme.
- d) Fee payments can be made using: Cash, cheque, EFTPOS, credit card and on-line facilities are also available; or fee payments can be -
 - Mailed to the Finance Department, Wintec, Private Bag 3036, Waikato Mail Centre, Hamilton 3240; or
 - Made in person at: A Block, City Campus, Student Enrolment and Information Centre: Rotokauri Hub, Rotokauri Campus, and
- e) Returning international students who choose not to pay their full years fees at the beginning of the year may have the option to pay semester by semester for semester based programmes. The last date for payment is the start date of the programme in each semester. This payment option must be arranged in person at A Block, City Campus, or other locations as defined in 2.3.d, in accordance with Immigration New Zealand requirements. If any returning international student, who has commenced their programme of study, elects to have a break of more than one academic year they will have their enrolment invoice calculated with the current academic's year tuition fees.
- f) The enrolment offer is a legally binding document and once signed, international students have agreed to be bound by Wintec's terms and conditions and must pay Wintec's fees.
- g) Upon payment of fees students will receive a Student ID Card which gives access to Wintec services, e.g. library and computer labs.
- h) Late payment fee(s) will apply where fees are not paid by the due date(s).

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2.4. Non-payment of Fees – Applies for Existing/Returning Students Only

If fees have not been paid by the due date, Wintec will commence debt recovery proceedings. This process is as follows:

- a) International students are sent a Fee Reminder on the first day of their programme.
- b) Two weeks into the programme a Fee Reminder is sent, (or is sent immediately if enrolled within or after the two week period).
- c) Two weeks after the Fee Reminder letter, a final letter is sent, advising that immediate payment is required, to avoid the debt being placed with the debt collection agency (Baycorp).

The impact of non-payment of fees may include the following consequences:

- All results will be withheld
- Qualifications will not be awarded
- Further enrolments may not be accepted
- Academic records will not be transferred
- Library access will be removed
- Computer access will be removed
- Immigration New Zealand (INZ) will be informed.

2.5. Withdrawals and Refunds

By accepting a place in a programme at Wintec, an international student enters into a contract with Wintec for the period of the programme. This means there is an obligation to pay the fee for at least one year or the length of the programme if less than one year.

- a) Refunds to international students will not be given after the programme has commenced. An exception will be made for students studying English who achieve an IELTS of 6.0 or required English level for mainstream study at Wintec. A transfer of fees to their Wintec mainstream programme may be granted for any additional English courses/blocks not yet commenced, less a 30% administration fee.
- b) All international students who are in receipt of an agreed full fees scholarship will be sent specific conditions related to withdrawals and refunds of fees.
- c) If an international student wishes to withdraw from any Wintec programme, they must notify the Student Enrolment and Information Centre (SEIC) immediately in writing by completing a [withdrawal form](#) EDC2 which is available from the Student Enrolment and Information Centre (SEIC) or in the Enrolment Guide on the [Wintec website](#). This form must be signed off by the Head of School.
- d) If an international student wants to change from a Wintec programme to another Wintec programme, they must notify SEIC immediately in writing by completing the change request

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section in [form EDC2](#) which is available from SEIC or in the Enrolment Guide on the [Wintec website](#). This form must be signed off by the Head of School.

- e) If an international student is expelled from the course, no refund will be made.
- f) If an international student wants to transfer to another institution, Wintec must receive the application at least two weeks prior to programme commencement. In accordance with Code of Practice (provided by the Ministry of Education), part 2, section 2, item 7, evidence must be provided that an assessment has been undertaken to ensure that the proficiencies and career intentions are matched by the new institution. A refund of 70% will be paid directly to the institution where the student is transferring.
- g) If Wintec cancels a programme, international students will receive a full refund.
- h) If an international student applies to commence a programme and is unable to obtain a student visa and the refusal of the visa is not related to the submission of fraudulent, defaced, altered or in the opinion of INZ tampered documents or the omission of material facts, then a refund will be given.
- i) If a student currently enrolled in a programme has a subsequent visa renewal declined the balance of course fees will be refunded less a 30% administration fee once the student has returned home and notified SEIC by providing a copy of their stamped passport and/or boarding card as proof.
- j) If the international student's visa renewal submission is beyond the expiration date and the student cannot obtain an Interim visa the international student will not be able to attend classes because of visa conditions. The student will need to notify SEIC immediately who will assist. A refund of fees will not be issued.
- k) If a returning international student wishes to withdraw their application, and notice is received by the SEIC two weeks prior to programme commencement, a refund of 70% of tuition fees paid will be given (30% is retained for administrative purposes). Students must provide documentation to SEIC to show that they have returned home. A copy of the student's stamped passport and boarding CARD will be required to be provided to SEIC prior to processing the refund. Refunds will be paid in NZ\$, with proof of identification to a nominated bank account, in their home country to whoever paid the student fees. SEIC will inform Immigration New Zealand that the student has returned home and that they have terminated their studies.
- l) In cases of medical, compassionate or other special circumstances (such as serious illness), an international student can apply for a proportional fee refund and must do so within 3 months of the last recorded day of attendance of a programme. The Head of School or Centre Director will recommend to the International Student Services Manager approval of the refund, which must be supported by appropriate documentation (e.g. medical certificate). The final decision will be made by the Director Internationalisation.
- m) An international student who gains New Zealand Permanent Residency will not receive a refund of fees for the semester in which residency is granted. If they are in a semester-based programme, they will be treated as a New Zealand Permanent Resident for the following semester and entitled to a refund of fees over and above any domestic fees less a 30%

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administration charge. They will be treated as a New Zealand Permanent Resident for subsequent years and will be subject to domestic fees for the remainder of their study at Wintec.

- n) International students who change their programme of study after receiving their paid offer of place will be required to pay NZ\$450 for each programme change.
- o) International students in programmes of one year or less, who have been granted transfer of credit will not receive a refund of these fees. International students will be able to utilize these funds to enrol in additional modules during the year of their study. Credits not used within 12 months of the start of the programme are non-refundable.
- p) International students in programmes of more than one year are able to utilise their transfer of credit during their programme of study.
- q) Immigration New Zealand will be informed of all refunds which affect the status of a student visa.

3. Measurements of success

- Fees to international students charged on consistent basis
- Requests for international refunds responded to on a consistent basis
- Equitable approach to fee payments adopted for all international students
- Revenue from international tuition fees accurately calculated
- Internal responsibilities defined.

4. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Enrolment applications	10 years after date of last action	Destroy
Invoicing and receipting of student fees and charges for other services	7 years after date of last action	Destroy

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Refund Table

Reason for refund application	Information student must provide	Timing	Amount of Refund
A visa was not granted for a student applying for a programme	An official letter from INZ informing of visa refusal	Prior to programme commencement	Total fee refund unless concerns refer to clause 2.5.h apply
Visa extension is not granted and is not due to poor performance or attendance	An official letter from INZ informing of visa refusal	Once a student has commenced a programme	70% fees to be refunded, 30% retained as administration fee
Wintec cancels a programme/module	Confirmation of bank details		Total fee refund
Centre for Languages student has met the IELTS requirement to gain admission to the programme	Documentation to support claim to be provided to SEIC.	After the course starts	Refund of remaining full blocks of English tuition only - less 30%
Compassionate reasons	Documentation including a medical certificate provided to SEIC to support claim	At any time	At the discretion of Director Internationalisation
Permanent Residency granted	Proof of NZ Permanent Residency	During first semester	Refund of 70% of second semester fees if on a semester based programme
		During second semester	No refund
Student withdraws prior to two weeks before the formal start date of the programme including summer school programmes	Confirmation that student has returned to country of residence. Copy of stamped passport and/or boarding pass. Completion of EDC2 to be provided to SEIC.		Refund of 70% of fees will be paid to the international students home country bank account Wintec will notify INZ that the student has withdrawn.
Student withdraws on or after programme has begun	Completion of EDC2 to be provided to SEIC		No refund
Student in one year programme has been granted transfer of credit			No refund. However, credit may be utilised during year of study for additional modules.

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Transfer to a new Wintec programme	Offer for new programme to be provided to SEIC Complete EDC2 form and provide to SEIC	No later than the start date of the programme.	NZ\$450 charge to transfer.
Transfer to another institution	As per Code of Practice requirements in 2.5.d clause of the refund Offer letter from tertiary refer 2.5.f	Minimum of two weeks prior	70% of tuition fees will be transferred to the new institution

SECTION AM5: POLICY ON TRANSFER OF CREDIT (AC-99/04)

The policy on Transfer of Credit Parts A and B (AC-99/04) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Referred to in Section AR:3 - Programme Regulations of the Academic Regulations.

Policy Owner: Dean
Category: Academic
Authorised by AAC

Date Approved: May 2010
Date Last Revised: May 2014
Next Review Date: May 2017

Transfer of Credit

1. Purpose and Scope

To ensure that Transfer of Credit (TOC) arrangements will be transparent, easily audited, and publicised to students via electronic and print publications. The procedures provide a coherent and reliable system for TOC for both informal and formal learning and guidance in meeting the regulatory requirements.

This policy applies to all students and academic staff.

2. Policy Statement

Transfer of credit (TOC) is the principle of recognising learning achieved through prior formal education and work /life experience. Wintec supports the application of TOC as an educationally valid way in which a student's previous relevant learning and academic achievements can be formally acknowledged.

Through this policy Wintec will:

- a) Ensure TOC procedures are effective and consistent
- b) Develop robust mechanisms for students to have their previous academic achievements recognised
- c) Clearly convey information about TOC processes to all parties involved
- d) Define the roles and responsibilities of all parties in the TOC process
- e) Define and convey the limits to TOC to all parties
- f) Record and store the outcomes of all applications for TOC

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Part B: Transfer of Credit

Number: AC-99/04

Policy Manager: Student Enrolment & Information Centre
Manager

Category: Academic

Authorised by AAC

Date Approved: May 2010

Date Last Revised: May 2014

Next Review Date: May 2017

Transfer of Credit

1. Definitions

Transfer of Credit (TOC)		<ul style="list-style-type: none">• Transfer of Credit (TOC) is a process where both formal and informal learning that a student has undertaken can be assessed and credit awarded to enable students to progress their individual learning.• Transfer of Credit (TOC) can be either <i>formal</i> or <i>informal</i> and may be applied to modules and/or assessment standards. Formal or informal transfer of credit may be <i>internal</i> or <i>external</i> and granted as <i>specified</i> or <i>unspecified</i> credit
Formal Transfer of Credit (FTOC)		<ul style="list-style-type: none">• Formal Transfer of Credit (FTOC), refers to credit for previous formal learning at Wintec or at another educational institution in New Zealand or overseas.• Formal Learning attains a result and is usually recorded on an academic record.
Types of FTOC	Cross Credit	<ul style="list-style-type: none">• Cross Credit is credit based on the sharing of a defined number of modules passed towards a completed Wintec qualification to another Wintec qualification. The defined modules will count towards both Wintec qualifications. A single module may not count towards more than two Wintec qualifications.
	Reassigned Credit	<ul style="list-style-type: none">• Reassigned Credit is formal credit gained from Wintec modules from an incomplete Wintec qualification that is transferred toward a new Wintec qualification. The module(s) will no longer count towards the original Wintec qualification.
	External Credit	<ul style="list-style-type: none">• External Credit is formal credit granted from prior learning completed and transferred from other institutions.
Recognition of Prior Learning (RPL)		<ul style="list-style-type: none">• Recognition of prior learning (RPL) – also known as Informal Transfer of Credit (ITOC) - is a process that acknowledges learning from previous informal training, work experience and/or life experience.
Specified credit		<ul style="list-style-type: none">• Specified credit is granted toward specific modules in a qualification for which there is a clear equivalence of prior learning or module content. Specified credit will be approved when prior learning outcomes are assessed as satisfying the learning outcomes and requirements of a particular module for which academic credit is sought.
Unspecified credit		<ul style="list-style-type: none">• Unspecified credit is credit granted toward a qualification where the previous study is equivalent to the level and credit value, but not to the learning outcomes from specified modules.
Portfolio of evidence		<ul style="list-style-type: none">• Portfolio of evidence refers to the evidence put forward by an applicant for consideration for TOC. Evidence can be presented in a variety of ways but will be assessed in relation to the learning outcomes of programmes and modules.

2. General Principles

- 2.1. Transfer of credit (TOC) is the principle of recognising learning achieved through prior formal education and work / life experience.

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- 2.2. All applications for TOC will be processed through Student Enrolment and Information Centre (SEIC).
 - a) Applications for TOC must be accompanied by any prescribed fee, as set out in the current Table of Fees.
 - b) Applications for Formal TOC should be made no later than two weeks before the start of the programme for which TOC may apply, to allow for individual programmes of study to take into account any TOC awarded.

3. Rules and Credit Limits

- 3.1. Level 1 – 6 programmes:
 - a) 100% transfer of credit is available towards level 1 - 6 programmes (both formal transfer of credit and recognition of prior learning).
 - b) For completed level 1 – 6 programmes, a maximum of 50% can be cross credited towards another Wintec programme.
- 3.2. Bachelor degree programmes (Level 7)
 - a) The standard credit limit for TOC (both formal transfer of credit and recognition of prior learning) is two thirds ($\frac{2}{3}$) of the qualification.
 - b) Transfer of credit will not be granted at Level 7.
 - c) In exceptional circumstances, these Transfer of Credit clauses may be waived, with the approval of the Academic Board or delegated authority. However all degree candidates are required to enrol in and complete a “minimum Wintec component” likely to be 45-60 credits to satisfy implicit and explicit competencies linked to graduate profiles.
 - d) For completed bachelors’ degrees, a maximum of one third ($\frac{1}{3}$) can be cross credits towards a second bachelor’s degree.
- 3.3. Graduate and postgraduate programmes (Level 7 – 9)
 - a) Formal Transfer of Credit (FTOC) at graduate / postgraduate level is at the discretion of the relevant Programme Committee and must be stated in the appropriate programme regulations.
 - b) Recognition of Prior Learning (RPL) will not normally be considered at postgraduate level due to the requirement to reflect high level cognitive skills, such as analysis, synthesis and problem solving, and theory based decision making rather than merely having undertaken specific tasks or roles.
 - c) Cross credit is not normally considered at graduate and postgraduate levels
- 3.4. No module may count towards more than two qualifications.
- 3.5. Existing regulated staircasing and transitional arrangements will remain and be reviewed as part of their standard review / renewal cycle.

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- 3.6. The Academic Board may approve exceptions to these regulations where there are clear strategic pathways and these variations will be specified in the relevant programme specific regulations.
- 3.7. Approved variations due to external professional registration requirements are specified in the appropriate programme regulations.

4. Formal Transfer of Credit (FTOC)

- 4.1. Students, who have completed modules and/or a qualification at Wintec, or at another New Zealand or overseas educational organisation, may apply to have that study recognised
 - a) as the basis for admission to a Wintec programme of study, **and / or**
 - b) for formal transfer of credit towards a Wintec programme of study.
- 4.2. FTOC may be cross credited, reassigned or external. Formal credit may be reassigned from one qualification to another if a student changes their programme of study, for example from a diploma to a degree.
- 4.3. Applicants for FTOC on the basis of study completed at another education institution must provide satisfactory evidence of achievement such as originals or verified copies³ of certificates, results, notices, academic transcripts or records of learning.
- 4.4. FTOC applications will be assessed initially by SEIC against the Wintec FTOC Precedence List to check the academic standing of the institution where the previous study was completed. If the institution is included in the precedence list as being recognised as a quality assured institution the FTOC application will be forwarded to the relevant Centre / School for further assessment.
- 4.5. If the institution where the previous study was completed has been assessed previously and is not recognised as a quality assured institution the FTOC application will be declined by SEIC.
- 4.6. If the institution where the previous study was completed has not been assessed previously, an assessment will be undertaken by SEIC, in liaison with QAU and the outcome recorded on the Wintec FTOC Precedence List. If the institution is not recognised as a quality assured institution the FTOC application will be declined by SEIC. If the institution is assessed as being recognised as a quality assured institution the application will be forwarded to the relevant Centre / School for further assessment.
- 4.7. Where overseas formal study has been undertaken at a recognised quality assured institution, the learning outcomes must be assessed for equivalence to the Wintec module(s) for which formal credit is sought.

³ A verified copy must be countersigned by a Justice of the Peace or such other authorised person to take statutory declarations under the Oaths and Declarations Act 1957, or by a person of equivalent standing in the case of an overseas record, stating that it is a true and correct copy.

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- 4.8. Factors taken into account when assessing applications for FTOC include:
- a) Equivalencies in the level of the previous study
 - b) Relevance of previous study to learning outcomes of the Wintec modules/programme
 - c) Currency of the previous study
 - d) Equivalencies in credit value (at both programme and module level)
- 4.9. Individual programmes may choose to place limits on the amount of FTOC and specify these in their programme regulations.
- 4.10. Students who have previously gained New Zealand Qualification Framework (NZQF) assessment standards included in the requirements for modules and / or programmes at Wintec will on request receive FTOC for those, if they are recorded on their NZQA Record of Achievement. These applications must be made to SEIC on the appropriate form, and be accompanied by the applicant's NZQA Record of Achievement, or a certified copy.
- 4.11. Where NZQF assessment standards for which TOC has been given are integrated into a bundled module, applicants can negotiate with the Head of School / Centre Director or Team Manager, attendance requirements for these modules. Proportional fees reduction may also be considered by the Head of School where applicants are successful in gaining credit under these circumstances, but students should be aware this may impact on their eligibility for loans and allowances from StudyLink.
- 4.12. FTOC for study passed at another educational institution will be entered on the applicant's academic record as a CR (credit) result for the module or unspecified credit awarded.
- 4.13. FTOC for modules passed towards an incomplete Wintec qualification and reassigned to another Wintec qualification will retain their original result and the module is marked as 'reassigned'.
- 5. Recognition of Prior Learning (RPL) - also known as Informal Transfer of Credit (ITOC)**
- 5.1. Wintec acknowledges that valid learning can take place outside of the current formal academic system. Such learning can include:
- a) 'old world' qualifications (e.g. Trade Certificates) which are not automatically cross creditable to current qualifications;
 - b) work experience (both paid and unpaid);
 - c) formal and informal in-service training;
 - d) life experience and community involvement (e.g. hobbies, marae-based activities);
 - e) self-directed study;
 - f) non-formal study;

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- g) community based education;
 - h) overseas training and/or experience.
- 5.2. RPL is available to applicants or enrolled students. RPL is applied for through the Headstart application at <https://headstart.wintec.ac.nz>.
- 5.3. RPL applicants may seek credit for:
- a) specified modules (including assessment standards) of a programme;
 - b) a full programme;
 - c) exemption from the entry criteria for admission to a programme or pre-requisites to a module;
- 5.4. RPL may include a number of elements, including assessment by panel, portfolio, presentation and / or work place assessment.
- 5.5. Wintec will charge a fee per credit for RPL, information relating to the costs associated with RPL can be found on the Headstart site at <https://headstart.wintec.ac.nz>.
- 5.6. RPL may apply to students who seek assessment standard credit toward National / New Zealand Qualifications delivered at Wintec. All such credit must meet the requirements of the Standard Setting Body (SSB) as specified for the assessment standard and in the assessment and moderation action plan (AMAP).
- 5.7. RPL toward national qualifications must be assessed by qualified assessors. Such assessors will normally be academic staff in Wintec Schools / Centres, but external assessors may also be used.
- 5.8. RPL will be granted only to those applicants who demonstrate they have met the learning outcome(s) of the module or assessment standard. Suitable assessment tools could include a portfolio of evidence, an attestation, a challenge test, an interview and / or an audit.
- 5.9. RPL assessors follow a rigorous process, and must hold an equivalent or higher qualification in the subject area they are assessing.
- 5.10. A successful application and portfolio for RPL may result in:
- a) the award of credits for specified modules and / or assessment standards which will be recorded as Credit Transfer (CR) in the modules concerned; **and / or**
 - b) the award of credits for 100 per cent of a qualification (unless an external governing or registration body has requirements that prevent this).

6. The Headstart (RPL) online process

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- 6.1. The Headstart online tool allows candidates to select a relevant qualification and build an e-portfolio of evidence to show their adequacy for applicable units and / or modules. Each portfolio will be assessed by an internal or external assessor. All candidates will require a face-to-face interview, and in some instances a workplace assessment will be necessary. Normal moderation processes will apply and documents will be monitored by the TOC Centre to maintain a quality process.
- 6.2. In some instances, credit will be awarded for specific modules and / or units, while for others, it will be appropriate to consider whether candidates have met graduate requirements for a full programme (particular regulations for qualifications must allow for this).
- 6.3. The RPL process is under the direction of the Student Enrolment and Information Centre (SEIC) as illustrated in the process chart available on the Headstart site.

7. Appeal

- 7.1. Applicants have the right to appeal decisions regarding TOC, as per Part A:A - Review of Academic Decision, and will be informed of this at the beginning of the application process.
- 7.2. Appeals will follow the Wintec Appeals process as outlined in the Student Concerns, Complaints and Appeals Policy AC-08/02.

8. Responsibilities

Heads of Schools / Centre Directors and Team Leaders	<ul style="list-style-type: none">• Ensure that all academic staff are aware of the TOC regulations for their programmes and provide accurate and timely advice to applicants.• Ensure there are experienced staff available to assess applications where required as part of the TOC process within their School / Centre.• Monitor the TOC process to ensure that due processes are followed, and that TOC applications are processed in a consistent and timely manner, normally within two weeks before the commencement of the programme.
Programme Committee	<ul style="list-style-type: none">• Approve individual applications for TOC, taking into account the relevance and currency of the FTOC / RPL, the programme specific regulations of the programme TOC is being applied towards, and the TOC recommendations maintained by SEIC.
SEIC and Schools / Centres	<ul style="list-style-type: none">• Distribute accurate TOC information to applicants as requested and provide advice, guidance and support to applicants.• The initial assessment of FTOC applications against the Wintec FTOC Precedence List of recognised quality assured institutions• Process all applications for TOC within the timeframes agreed with the Schools and Centres.• Enter the TOC credits in Arion and manage the student fees requiring payment for the remaining modules of the programme (including any TOC fees).
SEIC in liaison with QAU	<ul style="list-style-type: none">• Maintain the TOC guidelines, the Wintec FTOC Precedence List and RPL assessment process to ensure due diligence in the assessment of TOC.

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9. Measurements of success

- 9.1. All relevant staff and applicants / students are aware of the policy and operate consistently within the guidelines established by it.
- 9.2. Applicants receive up-to-date information and notification of the outcome of their TOC applications so they are aware whether credit has been awarded.
- 9.3. Any internal and/or external audits of the TOC process indicate compliance with the policy.

10. Records Management

Record	Minimum retention period	Disposal Action
Transfer of Credit Application	7 years after date of last action	Destroy
RPL portfolio of evidence	7 years after date of last action	Destroy

SECTION AM6: POLICY ON ASSESSMENT AND MODERATION (AC-11/05)

The policy on Assessment and Moderation Parts A and B (AC-11/05) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Referred to in Section AR:4 - Assessment of the Academic Regulations.

Policy Owner:	Dean	Date Approved:	November 2011
Category:	Academic	Date Last Revised:	September 2015
Refined category:	Delivery of Teaching and Learning	Next Review Date:	October 2018
Authorised by	AAC		

Assessment and Moderation

1. Purpose and Scope

The purpose of this policy is to provide a framework within which all programmes of study⁴ at Wintec will model the principles of sound assessment practice.

Assessment is an integral part of the teaching and learning processes and moderation is a key component of best practice assessment.

The assessment and moderation principles, practices and processes are designed to ensure that accountability and commitment to continuous improvement to teaching and learning can be demonstrated to students, NZQA and stakeholders.

The Assessment and Moderation policy applies to all staff at Wintec that deliver to learners, including permanent; full-time; part-time; and contracted staff; Academic Staff Members (ASM); Senior Academic Staff Members (SASM); Principal Academic Staff Members (PASM) and Team Managers.

2. Policy Statement

Through this policy Wintec will:

- a. develop assessment procedures for programmes and modules that reflect the key principles of sound assessment practice of validity, reliability, authenticity, sufficiency, consistency, fairness and openness;
- b. provide support in assessment design to reinforce Wintec's approach to teaching and learning and programme and module design, and to ensure the reciprocal relationship between assessment, learning outcomes and learning activities are appropriate and well aligned;
- c. guide assessment design to mitigate instances of academic misconduct (e.g. plagiarism);

⁴ Includes all levels 1 – 9 qualifications, training schemes, assessment standard based short courses, and academic sub-contracts for Wintec students

Part A: Assessment and Moderation

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- d. ensure that assessment tasks focus on the processes students use as well as the outcomes;
- e. ensure assessment tasks are appropriate to the level and difficulty of the module/programme;
- f. consider whether any variations to approved assessments or assessment processes are needed in special circumstances (e.g. offshore delivery; targeted cohorts; flexible access), without compromising comparability;
- g. require all programmes and modules that lead to a summative result to complete formal moderation processes, regardless of delivery mode, location or partnership arrangements;
- h. promote higher levels of consistency and reliability when making judgements about student performance;
- i. encourage ongoing professional discussion and reflection about the validity and reliability of assessment procedures at Wintec leading where necessary to a review of moderation systems/processes;
- j. ensure that records of all moderation reports are stored and available for inspection/validation by accrediting bodies at any time;
- k. support the consistent application of best practices principles in the assessment procedures used at Wintec.

Part B1: Assessment

Number: AC-11/05

Policy Manager:	Quality and Academic Director	Date Approved:	November 2011
Category:	Academic	Date Last Revised:	September 2015
Refined category:	Delivery of Teaching and Learning	Next Review Date:	October 2018
Authorised by	AAC		

ASSESSMENT

1. DEFINITIONS⁵

Achievement Based Assessment	Assessment to identify learners' varying levels of achievement at a task or group of tasks, which is normally expressed in the form of a numerical mark or a grade.	
Aegrotat	A solution offered in situations where an impairment impacts on the preparation for and/or performance in an assessment item where no further re-assessment opportunity is available, and the learning outcomes that are measured by this assessment are also measured within another assessment for the module.	
Assessment	The method used to judge an individual's performance in a module or programme. There are many forms of assessment, including assignments, practical work, tests, and examinations.	
Assessment Component	The specific method/type used to measure performance; e.g. an essay; oral test; examination; presentation. The assessment component will have a method; instructions on what to do; expectations to achieve the assessment component; and what grades are available. The assessment component will have a timeframe for completion and weighting (percentage of the total module mark/grade). The assessment component will also indicate if a result is compulsory to pass the module in its entirety.	
Assessment and Moderation Core Concepts	There are a number of key terms that are used to express the core concepts and principles of assessment and moderation. These being:	
	Authentic/Authenticity	<p>Authenticity has two meanings in relation to assessment:</p> <ul style="list-style-type: none"> - In terms of evidence (e.g. the body of work the learner produces as evidence of meeting an assessment) authenticity is related to ensuring the learner's work is their own. There are techniques that can be employed to ensure this, e.g. submission of drafts, learners providing verbal summaries of assessment outcomes in class. - In terms of teaching and learning, authenticity is related to ensuring what is being taught and then

⁵ To ensure consistency across Wintec documents, the Definitions tables in this policy are the exact same table as per Section AR:4 - Assessment of the Academic Regulations.

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		assessed and how it is being assessed (in measurement, method and tools used) is as close to real world as possible.
	Fairness	<p>An assessment should not create an advantage for a learner, nor should it disadvantage a learner, in any way. Examples of unfairness in assessment could be:</p> <ul style="list-style-type: none"> - Lack of clarity in the instructions and/or what is being assessed - Confused or ambiguous language in assessment⁶ - Any form of bias (gender, age, ethnicity, impairment based, etc) that, for example, means the assessment approach and/or materials exclude or limit the abilities of learner/s.
	<p>Openness</p> <p><i>Also related to Transparent/Transparency</i></p>	<p>Prior to any assessment taking place, learners understand what is being assessed, how they are being assessed and when they are being assessed. Learners understand the criteria against which they will be measured and have opportunity to seek clarification. Learners understand the wider assessment process and are aware of feedback, Reassessment Provisions, and Assessment Concession opportunities. Learners are also aware of the processes to seek reconsideration of marks and grades, and the processes to appeal any reconsideration decisions. Everything is transparent and available.</p>
	<p>Reliable/Reliability</p> <p><i>Also related to Consistency.</i></p>	<p>Learners and staff need to have confidence that there is consistency in assessment and that the same judgements are being applied across all learners for the same or similar assessments. Reliability is about the removal of inconsistent practices and procedures, or the perception of these, that could cause variances in judgements, for the same or similar assessments.</p>
	Sufficient/Sufficiency	<p>Usually related to competency based achievement and the quality and quantity of evidence provided – e.g. has the learner provided sufficient evidence to prove competency, not just once, but repeated competence over time?</p>

⁶ It is recommended that staff refer to [Bloom's Taxonomy](#) for assistance on appropriate language

		Sufficiency is tied in with assessment judgements, e.g. how much equals sufficient evidence to achieve competency. Sufficiency is normally embedded in moderation questions.
	Valid/Validity	<p>Essentially that what learners are told will be done, is actually done. For example an assessment should measure what it is meant to measure. The assessment task should provide learners with the opportunity to provide sufficient evidence to meet the assessment requirements and learning outcomes for that assessment. Validity in assessment would mean:</p> <ul style="list-style-type: none"> • There are clear statements on what is being assessed • There is clear measurement of what is being assessed and the measurement matches the actual assessment • The method of assessment is appropriate for what is being measured • The tools of assessment match the method of assessment
	Varied	A range of mediums and a variety of methods should be available to ensure that assessment is appropriate to the learners being assessed.
Assessment Concessions	The variations offered to learners with temporary impairment/s. Depending on the classification of the impairment, concessions range from extensions to aegrotats.	
Assessment Evidence	The work a learner completes and submits for marking.	
Attendance Requirements	<p>While Wintec expects learners to attend and participate in all classes (face to face and online), some programmes will specify the minimum attendance requirements in the Programme Regulations. Failure to meet such attendance requirements may mean failure of a module.</p> <p>International students must refer to the Policy on International Students' Attendance parts A and B for attendance required to meet the Code of Practice for Pastoral Care of International Students.</p>	
Competency Based Assessment	Assessment requiring that learners demonstrate that they have reached a particular standard to be judged as 'competent', and therefore receive a Pass grade. This type of assessment does not result in the award of a numerical mark, though it may provide recognition of higher performance.	

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Examination	An assessment that occurs in a supervised and controlled environment and generally results in written assessment evidence. It is more formal and longer in duration than a test; contributing a greater percentage of the overall grade. Formal examinations require supervision from staff other than the tutor e.g. an external invigilator or staff member who does not teach on the module.	
Extension	The approved submission of an item of assessment after the published deadline.	
Formative Assessment	Assessment activities that take place during the delivery of a module that are used solely to give learners developmental feedback and do not contribute to a mark or grade.	
Grade	A measure of achievement, usually in the form of a letter grade (e.g. B). For achievement based assessment, grades will equate to a mark range. For competency based assessment, grades will equate to a Pass/Fail. Grades can be awarded for items of assessment and/or the overall result of a module.	
Grade Method	The approved range of grades attached to a programme/module and available to be applied to a learner's item of assessment. Wintec has three main Grade Methods: Achievement Based, Competency Based and Mixed Mode.	
Internal Assessment	All items of assessment that are required by Wintec to demonstrate learner achievement, excluding formal examinations or wholly externally assessed pieces of work.	
Mark	The numerical result awarded to a learner for an individual item of assessment. Marks contribute to the grade assigned at the end of the module.	
Marking Criteria	The schedule of judgements that an assessor marks assessments against to ensure consistency of marking. Marking criteria may also specify the weighting allocated to each section within an assessment. Marking rubrics define levels of achievement.	
Moderation	A process to ensure fairness, consistency and reliability in assessment. At Wintec there are two parallel moderation processes:	
	Wintec-managed	(Wintec Moderation – previously known as internal moderation) - any moderation that is managed by Wintec and is part of the Wintec moderation schedule and cycle. Wintec moderation includes moderation by external people (e.g. international experts; other ITP staff; etc).
	Externally-managed	(External Moderation) – any moderation that is managed by organisations other than Wintec, e.g. New Zealand Qualifications Authority (NZQA),

	Industry Training Organisations (ITO), Professional Bodies, etc.
	There are also three types of moderation:
Pre-Teaching Review	Moderation of general course materials that are provided to learners (module descriptors, module outlines, programme handbooks, and any information that is provided to learners that includes assessment structures, instructions, requirements or guidelines). To protect Intellectual Property (IP), it is recommended that pre-teaching reviews be conducted by other Wintec staff. The exception would be where there is an arrangement with an ITO or other external body, and a pre-teaching review is part of that arrangement.
Pre-Assessment Moderation	Moderation of assessment tasks, including instructions and/or questions, alignment to learning outcomes, appropriateness of assessment to learning activities, assessment component weightings, marking schedules, model answers, judgement statements.
Post-Assessment Moderation	Moderation of marked student work to ensure that the assessment marking schedule has been applied fairly and consistently.
Module Descriptor	The official details of the module. The module descriptor forms part of the curriculum document for the programme and has been approved by NZQA.
Module Outline	A document provided to learners at the commencement of each module which includes detailed information about the module and its requirements. It is more detailed than a Module Descriptor, providing learners with information such as assessment due dates, marking criteria, and other expectations.
Plagiarism	Copying or paraphrasing someone else's work, or using another's ideas, be it published or unpublished, without clearly referencing and therefore acknowledging the source.
Reassessment Provisions	Opportunities for reassessment integrated as part of the standard delivery of the module. Reassessment provisions can take the form of extensions or resits.
Reconsideration	A request to review a result that has been awarded.

Resit	Sit an assessment that you previously failed, within a specified timeframe.
Resubmit	Submit a piece of assessment that you previously failed, within a specified timeframe. A resubmit may take the form of an alternative piece of assessment.
Summative Assessment	A process of assessing learner achievement during, or at the end of, a module that contributes to the final mark or grade.
Test	Less formal than an examination and generally administered by the class tutor and conducted within the classroom or similar environment. The duration of a test may last for only five minutes to an entire class period, but is generally no longer than one hour. The frequency and setting in which tests are administered are highly variable – a class tutor may, for example, administer a test on a weekly basis or just twice a semester.
Timetable	The published date, time and location that a class is scheduled.

2. ASSESSMENT AT WINTEC

- 2.1. Assessment at Wintec is not simply a measurement of learner achievement, it is also a tool that encourages learning, supports continuous improvement in teaching and learning (self-assessment), and provides evidence of best practices in teaching and learning.
- 2.2. There is a reciprocal relationship between **Learning Outcomes** (what the Tutor wants the learner to be/know/do on completion of a module); **Assessments** (how the Tutor will measure the learner's achievement and determine the learner has achieved the learning outcome/s); and **Learning Activities** (the specific tasks/instructions that enable the learner to engage with the learning outcome/s, that continually reinforce the learning outcome/s, and will prepare the learner for the assessment of the learning outcome/s).

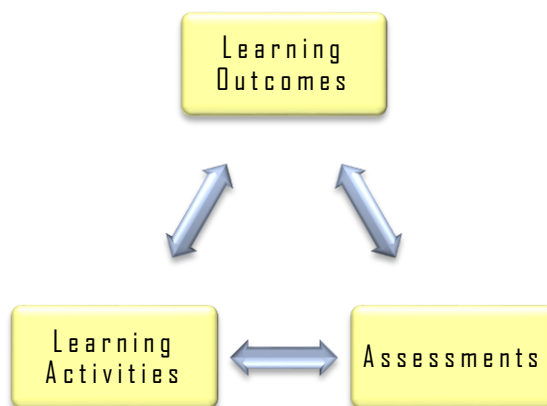


Diagram detailing the relationship between learning outcomes, learning activities and assessments

- i. When all three elements are aligned, it provides learners with clarity of expectations, and staff with the confidence that their teaching and learning practices are fair, authentic, transparent, valid, sufficient, consistent and reliable.

3. ASSESSMENT PRINCIPLES

- 3.1. *Assessments have clear expectations* - ensuring there are clear goals and standards, and that learners understand the significance of these. Providing learners with access to model answers, examples of well addressed previous assignments/tests/exams and marking schedules allows learners to process what these expectations are and can lead to improved performance.
- 3.2. *Assessments integrate high standards appropriate to the level* – learning is reciprocal and active and requires engagement by both staff and learners; expecting learners to perform well within the expectations of the level [of learning]⁷, by setting high standards, should not be seen as a deterrent that isolates cohorts of learners. Instead, high expectations and supporting learners to achieve those expectations should be seen as delivering quality, and best practice teaching and learning.
- 3.3. *Assessment design is integral to module and curriculum design* – modules should be designed with a complete awareness of the types of assessments that will best suit the learning outcomes, the overall delivery methodology and philosophy of the programme, and the teaching and learning directions and expectations of Wintec.
- 3.4. *Assessments are varied, authentic and appropriate to the learning and the learner* – learning, learners and how learning is delivered is a diverse and complex system.
 - i. Assessments provide opportunities to reveal and recognise learners' knowledge. Different cohorts of learners need ways of learning that work for them and this should be reflected in the range of assessments that are used to measure learning.
 - ii. Learning outcomes require a range of learning activities and assessments that reveal and reinforce the required learnings over time. The learning activities and assessments also allow integration of the required learning outcomes into other learning experiences in, and out of, the learning environment.
- 3.5. *Learners are provided with clear, regular, and constructive feedback* – feedback is essential for continuous learning and improvement as a learner needs to be aware of what they do know, as well as what they do not.

Learners are provided with the resources they need to achieve – this is a fundamental concept that is sometime overlooked or taken for granted. Not being provided with all the tools they require will affect learners' ability to learn, perform and maintain the motivation required to learn.

⁷ Refer to the [Level descriptors table](#) on the New Zealand Qualifications Authority "Understanding New Zealand Qualifications".

- i. Time allocation and the timing/spacing of assessments across a module and across a programme is key.
 - ii. Over-assessment is just as debilitating as not assessing at all.
 - iii. Ensuring learners have constant and continued access to the required technologies and facilities is fundamental to the learners' ability to learn and achieve.
- 3.6. *Moderation is a key tool of assessment best practice* – the moderation process is designed to ensure there is consistency and fairness across assessment practices and judgements. It is also a data source for self-assessment and continuous improvement. Refer to AC-11/05(b2) for the Moderation section of the policy on Assessment and Moderation (AC-11/05).

4. ASSESSMENT PROCESSES

- 4.1. The Programme Committee of the School/Centre is responsible for ensuring programmes comply with this policy.
 - i. If any variations are required to meet special circumstances (e.g. offshore delivery, delivery through a partnership or consortium arrangement), these must be documented and approved by the Programme Committee.
- 4.2. High level assessment requirements for modules are stated in the curriculum document for the programme and must be adhered to.
- 4.3. High level assessment requirements for the curriculum document will include:
 - i. the name of the assessment
 - ii. the type of the assessment
 - iii. the weighting of the assessment towards the final mark of the module if the assessment is achievement based
 - iv. the learning outcome/s the assessment aligns to
 - v. what constitutes a pass for the module and for the programme
- 4.4. Learners must be provided with detailed assessment requirements for all modules they are enrolled in no later than the end of the first teaching week of the module.
- 4.5. The detailed assessment requirements learners will be provided with will include:
 - i. the name of the assessment
 - ii. the type of the assessment
 - iii. the weighting of the assessment towards the final mark of the module, if achievement based
 - iv. the learning outcome/s the assessment aligns to
 - v. the specific requirements and expectations of the assessment tasks/activities; including
 - 1) clear description/explanation of the assessment
 - 2) how the assessment will be marked – e.g. Pass/Fail or weighted marks; marking criteria and clear expectations of what is required to achieve a high mark

- 3) clear breakdown of the assessment into its components – e.g. the expectations/tasks/activities within the assessment
- 4) the weighting of each component towards the total mark of the assessment
- vi. the dates by which assessments have to be submitted, or dates of tests and examinations

Special Note: Specified level of attendance may be a module or programme requirement, but it does not constitute an assessment measure.

- 4.6. Assessment components must be proactively reviewed (inclusively as part of the wider programme self-assessment) before the scheduled start date of a class and in line with Wintec's academic deadlines.
- 4.7. Assessment details form part of Wintec's contract with learners. Therefore all changes to assessment structures must go through the formal Academic Approvals Committee (AAC) change request process.
- 4.8. Once a class has enrolments, any changes to the module or assessment structure must be disclosed to, and agreed to by, learners. Changes must be documented and notified to learners in writing. A statement confirming that disclosure and notification has occurred must be included in the rationale in accordance with the 'late changes to modules' AAC change request process.

5. ACADEMIC INTEGRITY IN ASSESSMENT

- 5.1. Learners must act honestly and with integrity at all times in relation to assessments. Learners are required to:
 - i. Present their own original work for assessment;
 - ii. Acknowledge contributions from other sources by using the referencing format required for the programme (failure to do this correctly may be regarded as plagiarism); this includes direct copying, paraphrasing, summarising and the rearranging of another person's words or idea/s;
 - iii. Not cheat in tests or examinations
 - iv. Ensure they follow all instructions and the correct procedures (e.g. no use of cell phones);
 - v. Not submit the same, or a similar, piece of work for assessment on more than one occasion;
 - vi. Not enter into any agreements with other learners to collude on assignments
 - vii. collaborate only as permitted;
 - viii. Not over/misrepresent the individual contributions of members of any group assignment;
 - ix. Not knowingly help others to cheat;
 - x. Not act or behave or in way that precludes others from completing their assessments;

- xi. Keep written and electronic work secure to prevent others from accessing and copying work.
- 5.2. As part of the assessment submission process, learners may be required to sign a declaration confirming that the work presented is their own original work.
- 5.3. Tutors may decline to mark any assessment work that they are satisfied is the result of some dishonest or improper practice, or does not comply with instructions. In these instances, the procedures will conform to the provisions of the Academic Misconduct regulations, which are contained in AM13: Academic Misconduct in the Academic Manual.

6. ASSESSMENTS IN TE RĒO MĀORI

- 6.1. Learners have the right to undertake assessments in Te Rēo.
- 6.2. Once enrolled, learners who intend to present all or part of their assessments in Te Rēo Māori should provide written notice to the Tutor responsible for the module no less than six weeks prior to the due date for the assessment.
- 6.3. If less than six weeks' notice is given, marking and resulting processes for written assessments may be delayed, and oral assessments in Te Rēo Māori may not be able to be approved.
- 6.4. Wintec will take all reasonable steps to ensure all items of assessment presented in Te Rēo Māori, regardless of type (e.g. written/oral, theoretical/practical), are assessed by a Tutor who is competent in both Te Rēo Māori and the required discipline/subject area.

7. ASSESSMENT FEEDBACK

- 7.1. All marked assessments must contain feedback that supports learning.
 - i. Formative assessments occur primarily to give feedback to learners for both theoretical and practical components of a module.
 - ii. Formative assessment must be clearly differentiated from summative assessment, and cannot be used for grading learners.
 - iii. With formative assessment, the role of the Tutor is to support, rather than direct, the assessment outcomes.
 - iv. Constructive criticism needs to be thorough and clear. It should include where the learner went wrong and techniques for improvement.

8. ASSESSMENT CONCESSIONS

- 8.1. Assessment Concessions are the variations that may be offered to learners with **impairment/s**.
 - i. Learners with temporary impairments should refer to Section AM8: Assessment Concessions of the Academic Manual for further information.
 - ii. Learners with permanent impairments should contact Student Learning Services for more information.

9. REASSESSMENT PROVISIONS

- 9.1. Reassessment provisions are when opportunities for reassessment are allowed as part of the standard delivery of a module.
 - i. As part of the standard delivery of a module means that before the start date of the module the Programme Committee has made a conscious decision to allow learners the opportunities for reassessment;
 - ii. It is not an ad hoc decision made on a case by case basis during the resulting period;
 - iii. All reassessment provisions must be stated in the module outline/programme handbook, including any limits to the number of reassessment provisions allowed.
 - 1) If a generic statement is used in the Programme Handbook, and there is a module within the programme excluded from this provision, this must be stated on that module's outline.
- 9.2. Reassessment provisions do not apply to permanent or temporary impairment/s. Learners with impairments should make use of the opportunities available to them under Assessment Concessions.
- 9.3. Reassessment provisions are managed and monitored by the relevant School/Centre and reported to the appropriate Programme Committee.
 - i. This includes all communications to learners
 - ii. This includes ensuring notes are recorded in all appropriate systems, e.g. the Student Management System
- 9.4. The Programme Committee should report on reassessment provisions to the Academic Approvals Committee as part of the School/Centre's Triannual Report.
- 9.5. Reassessment provisions may take the form of either a short-term extension to the due date/submission deadline of an assessment; an opportunity to resit/resubmit an assessment; or an opportunity to undertake an alternative assessment.
 - i. **Short term extensions:**
 - 1) Must be sought from, and agreed to by, the module Tutor before the assessment due date/submission deadline;
 - 2) Should be no longer than two working days past the assessment due date/submission deadline;
 - 3) Are given at the discretion of the Tutor;
 - 4) The Tutor should keep a record of extensions granted and the reason for the extension to ensure consistency and fairness in these decisions;
 - 5) No short-term extension will be granted beyond the end of the semester in which the assessment is scheduled, unless authorised by the Dean.
 - ii. **Reschedule:**
 - 1) Learners with legitimate "non-impairment" based reasons for being late or failing to attend a presentation, internal test or any form of practical assessment may be given the opportunity to have their assessment rescheduled, if it is manageable;

- 2) The rescheduled assessment must be conducted within the teaching weeks of the module and resulting deadlines must still be met.
- iii. **Resit/resubmit:**
 - 1) Learners who fail an assessment but score within the 45-49% range of the required pass mark may be given/may apply for the opportunity to resit/resubmit that piece of assessment.
 - 2) Learners must be notified in writing of the expectations and new deadline, and, where appropriate, time and place of the resit/resubmit.
- iv. **Alternative Assessments:**
 - 1) Alternative assessments are both examples of best practice and common sense. Sometimes creating resit/resubmit opportunities creates an unfair advantage between learners if given the opportunity to resit/resubmit the exact same item of assessment.
 - 2) Alternative assessments will still meet the same learning outcomes as the assessment it is replacing.

10. LEARNERS' RIGHT TO QUERY MARK OR GRADE

- 10.1. Marking schedules must be transparent so that learners understand how a mark or grade was arrived at.
- 10.2. Learners have the right to discuss or query a mark or grade with their Tutor.
- 10.3. For assessments presented in Te Rēo Māori, learners have the right to query the accuracy of the translation.
- 10.4. If learners are not satisfied with the Tutor's response, they can ask for an Academic Decision Review by:
 - i. Applying for reconsideration of a mark or grade for an item of assessment; or,
 - ii. Applying for reconsideration of the final mark or grade.The Academic Decision Review falls under Academic Decision Review provisions of the policy on Learner Concerns, Complaints and Appeals (AC-08/02).
- 10.5. Learners may appeal the decision of an Academic Decision Review by making an application to the Dean as per the provisions of the policy on Learner Concerns, Complaints and Appeals (AC-08/02).
- 10.6. Learners who disagree with the decision of the Dean may appeal to the Chief Executive (CE) as per the provisions of the policy on Student Concerns, Complaints and Appeals (AC-08/02).

11. SUBMISSION OF ASSESSMENTS AND TIMEFRAMES FOR RETURN OF ASSESSMENTS

- 11.1. Schools/Centres may have specific conditions on submission of late work that may result in the award of a lower grade or no grade. Such requirements must conform to the Wintec Academic Regulations, be approved by the Head of School/Centre Director and be noted in the Programme Handbook.
- 11.2. All learner work submitted for assessment will be marked and returned within 20 working days. Timeframes for the return of assessed work must be clearly conveyed to learners. Variations due

to circumstances such as delivery off-site or through a partnership arrangement must be clearly stated, and approved by the relevant Programme Committee in advance.

12. USE OF THIRD PARTIES IN ASSESSMENT

- 12.1. Any third party that is used in assessment must be either:
- A competent translator appointed by the Head of School/Centre Director in collaboration with the Māori Achievement Manager specifically for the purpose of translating an assessment item that has been presented in Te Rēo Māori; or
 - A competent reader/writer appointed by the Student Learning Services for the purpose of providing support to learners with a disability or temporary impairment.
- 12.2. The third party will not correct errors on the assessment, or make any additions, deletions or embellishments to the assessment.
- 12.3. Contact between a translator and learners is prohibited.
- Even in an oral assessment, the translator is there to translate what the learner says. To meet the core concepts of Assessment and Moderation there is no need for interaction between the translator and the learner.

13. ROLES AND RESPONSIBILITIES IN ASSESSMENT

The roles and responsibilities of the various parties involved in the assessment process need to be clearly established to ensure the principles of sound assessment practice are modelled.

ROLE	RESPONSIBILITY
Academic Approvals Committee (AAC)	<ul style="list-style-type: none">- Is responsible for reporting to the Academic Board on Programme Committees' activities. This will include being aware of any academic matters that arise from assessment procedures operating within the Institute.- Is responsible for overall approval and monitoring of NZQA approval and accreditation requirements, including the approval of 'changes to programmes and modules'. AAC must approve assessment structure changes with a view to risk mitigation (learner and Wintec), and sound assessment practices.
Office of the Dean	<ul style="list-style-type: none">- Oversees the formal reporting of results. As such, the Dean should maintain an overview of, and be confident in, the assessment procedures operating within the Schools and Centres.- Has formal responsibility in the appeal process regarding assessments.

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ROLE	RESPONSIBILITY
	<ul style="list-style-type: none"> - Will respond promptly to appeals by ensuring that qualified and independent persons are engaged to evaluate any appeal, and will ensure that appellants are informed of the outcomes of any appeal at this level.
Programme Committee/s (PC)	<ul style="list-style-type: none"> - Ensures consistency of marking and resulting processes across School/Centre programmes. - Confirms all results and completions. - Is responsible for the academic quality of all programmes within the scope of the PC. This includes confirmation that any changes to programmes, modules and assessment structures are academically sound and meet the expectations of AAC.
Quality and Academic Unit/Capability Development/Professional Development and Adult Learning	<ul style="list-style-type: none"> - Inform and advise faculty on principles of sound assessment practice. - As part of curriculum design, assist in the design of robust, sound, quality assessments that promote the teaching and learning directions and expectations of Wintec. - Audit assessment and moderation materials from time to time.
Head of School/Centre Director	<ul style="list-style-type: none"> - Has overall responsibility for the assessment procedures of their School/Centre and the reporting of results through their Programme Committee/s.
Team Manager	<ul style="list-style-type: none"> - Directly supervises the assessment procedures of their School/Centre and the reporting of results through their Programme Committee/s. - Oversees the design and implementation of assessment procedures. All assessment procedures must model the principles of sound assessment practice. - Oversees the proactive review of assessments. - Has responsibility for logging any changes to assessment structures on the 'changes to programmes and modules' change request system. - Acknowledges appeals and deals with them in a professional and transparent manner. Keeps full documentation of all appeals and outcomes, and this

ROLE	RESPONSIBILITY
	information is managed and stored as per School/Centre guidelines and the Academic Regulations and Manual.
Team Manager/Academic Staff Members	<ul style="list-style-type: none"> - Resolves, in collaboration with Student Learning Services, requests for assessment accommodations for learners with a verified disability.
Academic Staff Members	<ul style="list-style-type: none"> - Are directly responsible for the design and implementation of assessment procedures. All assessment procedures must model the principles of sound assessment practice. - Are responsible for the proactive review of assessments. - Work within the processes and timeframes required by their Programme Committee/s.

14. MEASUREMENTS OF SUCCESS

- Assessment procedures are robust.
- Assessment principles are integrated into best practice teaching and learning.
- There is a reduction in Academic Decision reviews and appeals.

15. RECORDS MANAGEMENT

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice, and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Learner request to complete course work or assessments in Te Rēo Māori.	10 years after date of last action	Destroy
Assessment information/documents/materials	One year for moderation purposes. Refer to Part B2 for the retention period for assessment materials used in moderation process	Destroy

Procedure

Part B: Assessment and Moderation

Number: AC-11/05

Uncollected/unreturned student work	One year for moderation purposes	Destroy
Requests for reassessment provisions ⁸	One Year	Destroy

⁸ It is expected that reassessment provisions will be reported to the Programme Committee; therefore a permanent record will be available with the PC minutes.

Policy Manager:	Quality and Academic Director	Date Approved:	November 2011
Category:	Academic	Date Last Revised:	September 2015
Refined category:	Delivery of Teaching and Learning	Next Review Date:	October 2018
Authorised by	AAC		

MODERATION

1. DEFINITIONS⁹

Achievement Based Assessment	Assessment to identify learners' varying levels of achievement at a task or group of tasks, which is normally expressed in the form of a numerical mark or a grade.	
Aegrotat	A solution offered in situations where an impairment impacts on the preparation for and/or performance in an assessment item where no further re-assessment opportunity is available, and the learning outcomes that are measured by this assessment are also measured within another assessment for the module.	
Assessment	The method used to judge an individual's performance in a module or programme. There are many forms of assessment, including assignments, practical work, tests, and examinations.	
Assessment Component	The specific method/type used to measure performance; e.g. an essay; oral test; examination; presentation. The assessment component will have a method; instructions on what to do; expectations to achieve the assessment component; and what grades are available. The assessment component will have a timeframe for completion and weighting (percentage of the total module mark/grade). The assessment component will also indicate if a result is compulsory to pass the module in its entirety.	
Assessment and Moderation Core Concepts	There are a number of key terms that are used to express the core concepts and principles of assessment and moderation. These being:	
	Authentic/Authenticity	<p>Authenticity has two meanings in relation to assessment:</p> <ul style="list-style-type: none"> - In terms of evidence (e.g. the body of work the learner produces as evidence of meeting an assessment) authenticity is related to ensuring the learner's work is their own. There are techniques that can be employed to ensure this, e.g. submission of drafts, learners providing verbal summaries of assessment outcomes in class.

⁹ To ensure consistency across Wintec documents, the Definitions tables in this policy are the exact same table as per Section AR:4 - Assessment of the Academic Regulations.

		<ul style="list-style-type: none"> - In terms of teaching and learning, authenticity is related to ensuring what is being taught and then assessed and how it is being assessed (in measurement, method and tools used) is as close to real world as possible.
	Fairness	<p>An assessment should not create an advantage for a learner, nor should it disadvantage a learner, in any way. Examples of unfairness in assessment could be:</p> <ul style="list-style-type: none"> - Lack of clarity in the instructions and/or what is being assessed - Confused or ambiguous language in assessment¹⁰ - Any form of bias (gender, age, ethnicity, impairment based, etc) that, for example, means the assessment approach and/or materials exclude or limit the abilities of learner/s.
	<p>Openness</p> <p><i>Also related to Transparent/Transparency</i></p>	<p>Prior to any assessment taking place, learners understand what is being assessed, how they are being assessed and when they are being assessed. Learners understand the criteria against which they will be measured and have opportunity to seek clarification. Learners understand the wider assessment process and are aware of feedback, Reassessment Provisions, and Assessment Concession opportunities. Learners are also aware of the processes to seek reconsideration of marks and grades, and the processes to appeal any reconsideration decisions. Everything is transparent and available.</p>
	<p>Reliable/Reliability</p> <p><i>Also related to Consistency.</i></p>	<p>Learners and staff need to have confidence that there is consistency in assessment and that the same judgements are being applied across all learners for the same or similar assessments. Reliability is about the removal of inconsistent practices and procedures, or the perception of these, that could cause variances in judgements, for the same or similar assessments.</p>
	Sufficient/Sufficiency	<p>Usually related to competency based achievement and the quality and quantity of evidence provided – e.g. has the</p>

¹⁰ It is recommended that staff refer to [Bloom's Taxonomy](#) for assistance on appropriate language

		<p>learner provided sufficient evidence to prove competency, not just once, but repeated competence over time?</p> <p>Sufficiency is tied in with assessment judgements, e.g. how much equals sufficient evidence to achieve competency.</p> <p>Sufficiency is normally embedded in moderation questions.</p>
	Valid/Validity	<p>Essentially that what learners are told will be done, is actually done. For example an assessment should measure what it is meant to measure. The assessment task should provide learners with the opportunity to provide sufficient evidence to meet the assessment requirements and learning outcomes for that assessment. Validity in assessment would mean:</p> <ul style="list-style-type: none"> • There are clear statements on what is being assessed • There is clear measurement of what is being assessed and the measurement matches the actual assessment • The method of assessment is appropriate for what is being measured • The tools of assessment match the method of assessment
	Varied	<p>A range of mediums and a variety of methods should be available to ensure that assessment is appropriate to the learners being assessed.</p>
Assessment Concessions	<p>The variations offered to learners with temporary impairment/s. Depending on the classification of the impairment, concessions range from extensions to aegrotats.</p>	
Assessment Evidence	<p>The work a learner completes and submits for marking.</p>	
Attendance Requirements	<p>While Wintec expects learners to attend and participate in all classes (face to face and online), some programmes will specify the minimum attendance requirements in the Programme Regulations. Failure to meet such attendance requirements may mean failure of a module.</p> <p>International students must refer to the Policy on International Students' Attendance parts A and B for attendance required to meet the Code of Practice for Pastoral Care of International Students.</p>	
Competency Based Assessment	<p>Assessment requiring that learners demonstrate that they have reached a particular standard to be judged as 'competent', and therefore receive a Pass grade. This type of</p>	

	assessment does not result in the award of a numerical mark, though it may provide recognition of higher performance.	
Examination	An assessment that occurs in a supervised and controlled environment and generally results in written assessment evidence. It is more formal and longer in duration than a test; contributing a greater percentage of the overall grade. Formal examinations require supervision from staff other than the tutor e.g. an external invigilator or staff member who does not teach on the module.	
Extension	The approved submission of an item of assessment after the published deadline.	
Formative Assessment	Assessment activities that take place during the delivery of a module that are used solely to give learners developmental feedback and do not contribute to a mark or grade.	
Grade	A measure of achievement, usually in the form of a letter grade (e.g. B). For achievement based assessment, grades will equate to a mark range. For competency based assessment, grades will equate to a Pass/Fail. Grades can be awarded for items of assessment and/or the overall result of a module.	
Grade Method	The approved range of grades attached to a programme/module and available to be applied to a learner's item of assessment. Wintec has three main Grade Methods: Achievement Based, Competency Based and Mixed Mode.	
Internal Assessment	All items of assessment that are required by Wintec to demonstrate learner achievement, excluding formal examinations or wholly externally assessed pieces of work.	
Mark	The numerical result awarded to a learner for an individual item of assessment. Marks contribute to the grade assigned at the end of the module.	
Marking Criteria	The schedule of judgements that an assessor marks assessments against to ensure consistency of marking. Marking criteria may also specify the weighting allocated to each section within an assessment. Marking rubrics define levels of achievement.	
Moderation	A process to ensure fairness, consistency and reliability in assessment. At Wintec there are two parallel moderation processes:	
	Wintec-managed	(Wintec Moderation – previously known as internal moderation) - any moderation that is managed by Wintec and is part of the Wintec moderation schedule and cycle. Wintec moderation includes moderation by external people (e.g. international experts; other ITP staff; etc).

	Externally-managed	(External Moderation) – any moderation that is managed by organisations other than Wintec, e.g. New Zealand Qualifications Authority (NZQA), Industry Training Organisations (ITO), Professional Bodies, etc.
	There are also three types of moderation:	
	Pre-Teaching Review	Moderation of general course materials that are provided to learners (module descriptors, module outlines, programme handbooks, and any information that is provided to learners that includes assessment structures, instructions, requirements or guidelines). To protect Intellectual Property (IP), it is recommended that pre-teaching reviews be conducted by other Wintec staff. The exception would be where there is an arrangement with an ITO or other external body, and a pre-teaching review is part of that arrangement.
	Pre-Assessment Moderation	Moderation of assessment tasks, including instructions and/or questions to, for example, ensure ease of understanding for learners regarding what is required; accuracy; spelling etc; alignment to learning outcomes, appropriateness of assessment to learning activities, assessment component weightings, marking schedules, model answers, judgement statements.
	Post-Assessment Moderation	Moderation of marked student work to ensure that the assessment marking schedule has been applied fairly and consistently; to ensure accuracy in marking tally.
Module Descriptor	The official details of the module. The module descriptor forms part of the curriculum document for the programme and has been approved by NZQA.	
Module Outline	A document provided to learners at the commencement of each module which includes detailed information about the module and its requirements. It is more detailed than a Module Descriptor, providing learners with information such as assessment due dates, marking criteria, and other expectations.	
Plagiarism	Copying or paraphrasing someone else's work, or using another's ideas, be it published or unpublished, without clearly referencing and therefore acknowledging the source.	

Reassessment Provisions	Opportunities for reassessment integrated as part of the standard delivery of the module. Reassessment provisions can take the form of extensions or resits.
Reconsideration	A request to review a result that has been awarded.
Resit	Sit an assessment that you previously failed, within a specified timeframe.
Resubmit	Submit a piece of assessment that you previously failed, within a specified timeframe. A resubmit may take the form of an alternative piece of assessment.
Summative Assessment	A process of assessing learner achievement during, or at the end of, a module that contributes to the final mark or grade.
Test	Less formal than an examination and generally administered by the class tutor and conducted within the classroom or similar environment. The duration of a test may last for only five minutes to an entire class period, but is generally no longer than one hour. The frequency and setting in which tests are administered are highly variable – a class tutor may, for example, administer a test on a weekly basis or just twice a semester.
Timetable	The published date, time and location that a class is scheduled.

2. MODERATION AT WINTER

- 2.1. Moderation is integrated into Wintec's Quality @ Wintec framework and is a quality lens used to assess consistency and fairness across assessment practices and judgements. It is also a self-assessment tool that can lead to continuous improvement in teaching and learning.
- 2.2. Moderation will assess the strength of the reciprocal relationship between learning outcomes, assessments and learning activities.

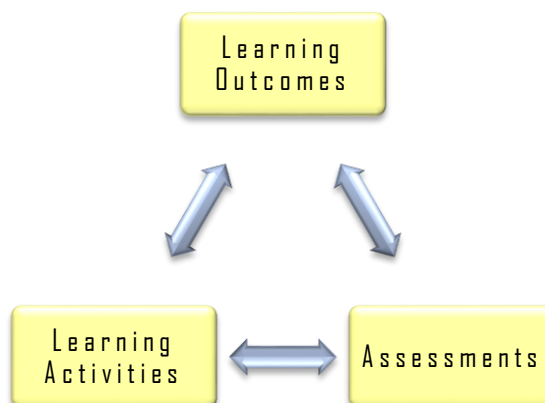


Diagram detailing the relationship between learning outcomes, learning activities and assessments

- i. Where moderation reveals strong alignment between the three elements, then there is an example of best practice
- ii. Where moderation reveals weak alignment between the three elements, then there is an opportunity for self-assessment and continuous improvement.

3. MODERATION PRINCIPLES

- 3.1. *Moderation is accountability* – the core of moderation is to ensure fairness, consistency and reliability in assessment. Robust moderation processes provide assurances to learners and staff that assessment design, implementation and judgements are systematically reviewed, and therefore provide confidence that the results achieved are valid and meaningful.
- 3.2. *Moderation is continuous improvement* – moderation is a key component of the self-assessment framework. Moderation facilitates the continuous and achievable cycle of review and improvement at a programme component level. Moderation also facilitates the systematic check of alignment between assessments, learning outcomes and learning activities.
- 3.3. *Moderation processes should be transparent* – for moderation to be an enabler of accountability and continuous improvement, the process needs to be clear and well documented.
- 3.4. *Moderation is a collaboration* – at a rudimentary level, moderation is a peer review of staff capabilities. It must therefore be conducted in the spirit of collaboration and continuous improvement of capabilities in, and quality of, teaching and learning. Staff are expected to conduct themselves within this spirit of collaboration so that if discord does occur, it is resolved in a professional and expedient manner.
- 3.5. *Moderation should be manageable* – while moderation is an integral part of the teaching and learning cycle, there is no expectation that every module that is being delivered in an academic year is moderated; this would be unmanageable for larger programmes. There is, however, an expectation that all modules are moderated at least once, within a three-year cycle. There is also an expectation that each School/Centre develops an annual moderation schedule. The moderation process can be time-consuming, depending on the capacity and capabilities of the moderator/s. It is therefore essential that moderation schedules and Wintec moderators be confirmed as early as possible in order to allow planning and potential capability development.

4. MODERATION PRACTICES

- 4.1. All assessments used at Wintec will be moderated in accordance with Wintec and external moderation requirements. This includes assessments conducted offshore, off-site, online, or through a partnership or consortium arrangement.
- 4.2. This policy details the minimum expectations required for moderation that incorporate and return sound quality practices. It does not preclude individual Schools/Centres from applying higher expectations/requirements – but these expectations/requirements must be approved by the School/Centre's Programme Committee and be consistent and transparent across the whole School/Centre.

- 4.3. **THE SCHEDULING OF MODERATION WILL BE** determined by:
- The Programme Committee, and
 - Requirements of any external bodies, and
 - Best practice principles.
- 4.4. Wintec has the right to retain learner work and assessments for up to one year for moderation purposes.

5. WINTEC-MANAGED MODERATION

- 5.1. Wintec moderation should occur for all assessments of all modules. Because it is not realistic to moderate all assessments for all modules in a single cycle, all modules should be put on a moderation cycle.
- Each unit that delivers modules should maintain a continuous moderation schedule. The moderation schedule should include:
 - When the module will be moderated
 - What type of moderation will be undertaken
 - Who will conduct the moderation
 - Moderation timeframes for the module
 - When the module was last moderated
 - What type of moderation was conducted
 - Outcome of last moderation
 - The moderation schedule is a living document and should be confirmed at the beginning of every year in order to confirm the specific modules to be moderated in that year.
 - All modules being taught must be moderated through either a Pre-Assessment or Post Assessment moderation process, at least every three years. This is considered standard moderation requirements for Wintec.
 - Staff are only required to conduct one type of moderation, either Pre-Assessment or Post-Assessment, in each cycle for standard moderation.
 - All modules should alternate between Pre-Assessment or Post-Assessment moderation, meaning you cannot use Pre-Assessment moderation in two consecutive cycles.
 - It is a best practice choice to add the Pre-Teaching Review to the standard moderation of a module.
 - It is a best practice choice to combine all three types of moderation in to a single process for standard moderation.
 - Regardless of the moderation schedule or where the module fits within the cycle, if a module meets any of the following criteria, then it will fall outside of standard moderation expectations, and must be moderated in that academic year:
 - It is a new module.

- 2) It is a module that has undergone significant changes to learning outcomes, activities or assessment components.
- 3) It is an existing module with new assessment components, e.g. examination; essay; oral test.
- 4) It is a module being delivered at a new site.
- 5) It has not been moderated for three years.

Refer to the following table for what type of moderation must be conducted.

- v. Where a module is delivered across more than one site (including offshore), moderation must occur across all sites, for all iterations of the module, and be included in the moderation schedule.
- vi. For *new staff members*, post moderation is required. Pre-teaching review and pre-assessment moderation are not required if the new staff use existing assessments and existing material. The discussions (checking in) of assessment judgements, assessment principles and assessment practices should be integrated into individual School/Centre support systems for new staff.
- vii. For *existing staff delivering an existing module for the first time*, it is recommended that there be a brief 'check in' to ensure that assessment judgements, assessment principles and assessment practices meet the required standard. The 'check in' will replace any form of moderation. However the peer, team management or Programme Committee can opt to conduct one or more of the moderation types as is felt necessary.
- viii. The following table illustrates the type of moderation that should be conducted, depending on the reason:

Procedure

KEY	Required	Recommended	Optional	Opt in by Peer
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Wintec-managed Moderation Expectations.

	Pre-Teaching Review		Pre-Assessment Moderation		Post-Assessment Moderation		Check In	
	New staff	Existing staff	New staff	Existing staff	New staff	Existing staff	New staff	Existing staff
First delivery of a new module ¹¹	Required	Required	Required	Required	Required	Required	Required	Optional
First delivery of an existing module using new assessments and materials	Required	Opt in by Peer	Required	Opt in by Peer	Required	Opt in by Peer	Required	Optional
First delivery of an existing module using existing assessments and materials	Optional	Opt in by Peer	Optional	Opt in by Peer	Required	Opt in by Peer	Required	Optional
Module has had significant changes	Optional	Opt in by Peer	Required	Opt in by Peer	Required	Opt in by Peer	Required	Optional
Module has new assessments	Optional	Opt in by Peer	Required	Opt in by Peer	Required	Required	Required	Optional
First delivery of a module at a new site	Optional	Opt in by Peer	Optional	Opt in by Peer	Optional	Opt in by Peer	Required	Optional
Has not been moderated for three years	Optional	Optional	Required	Required	Required	Required	Required	Optional

¹¹ Potentially the pre-teaching review and pre-assessment moderation occurs as part of the standard implementation of a new module. The intention is not to replicate processes; where applicable ensure the standard implementation also fulfils pre-teaching review and pre-assessment moderation requirements.

5.2. *Moderators*

- i. The person/s undertaking the moderation should have appropriate knowledge and understanding of the content and procedures being applied, and the context in which the teaching is carried out.
- ii. The moderation schedule for each module should include a mix of moderators, for example:
 - 1) Wintec staff that do not teach on the module.
 - 2) Other ITP staff that deliver similar modules.
 - 3) Other tertiary academic staff that deliver similar modules/subjects.
 - 4) Professional body representatives.
 - 5) Industry Training Organisation representatives.
- iii. As part of the Wintec-managed moderation cycle, all modules must also be moderated by an external moderator at least once every three years.
 - 1) Externally managed moderation (External Moderation) will fulfil the Wintec-managed moderation requirement for modules to be moderated by an external moderator.
 - 2) Where a programme does not have an externally-managed moderation process in place (e.g. ITO process for ITO managed unit standards), the Head of School/Centre Director will establish a relationship with an external representative to fulfil this requirement.
 - 3) Programme Committees are responsible for regular benchmarking of their programmes and modules against comparable international standards. This can be achieved by including international academic peers in the moderation process.
- iv. Schools/Centres must negotiate conditions for external moderators (e.g. payment) prior to moderation taking place, using the Wintec External Moderation Contract Forms.

6. EXTERNALLY-MANAGED MODERATION

6.1. *Requirements*

- i. Each external body will have its own process and procedures that must be followed.
- ii. Wintec's Quality and Academic Unit is responsible for the management of NZQA external moderation requirements.
- iii. Each Head of School/Centre Director, or delegated representative, is responsible for the management of ITO, Standard Setting Bodies (SSBs), Professional Body or any other external body moderation requirements.

7. ROLES AND RESPONSIBILITIES IN MODERATION

Procedure

Part B: Assessment and Moderation

Number: AC-11/05

The roles and responsibilities of the various parties involved in the moderation process need to be clearly established to ensure the principles of sound assessment practice are modelled.

ROLE	RESPONSIBILITY
Academic Approvals Committee (AAC)	<ul style="list-style-type: none">- Report to the Academic Board:<ul style="list-style-type: none">o Advising on the general outcomes of external moderation for degree and post-graduate programmes and any actions required to address significant concernso Any significant issues relating to sub-degree programme moderation.
Office of the Dean	<ul style="list-style-type: none">- Ensures moderation occurs within Schools/Centres.- Has overall responsibility for ensuring that any issues/breaches with moderation process are mitigated/rectified.
Quality and Academic Unit	<ul style="list-style-type: none">- Monitors the moderation processes used at Wintec as part of the self-assessment process.- Oversees external moderation requirements for unit standards that are moderated through NZQA.
Programme Committee/s (PC)	<ul style="list-style-type: none">- Ensures consistency of moderation practices and processes across School/Centre programmes.- Confirms the annual moderation schedule.- Tracks and reviews moderation processes and schedules to ensure moderation is occurring- Reviews moderation results, and tracks and monitors any required or recommended changes.- Considers and selects external moderators from nominations that have been recommended by staff to the PC.- Considers external moderators' reports tabled at the PC meeting by the Head of School/Centre Director, or delegated representative.
Head of School/Centre Director	<ul style="list-style-type: none">- Establishes schedules and procedures for Wintec-managed moderation of all modules delivered at all sites, on an annual basis.- Establishes schedules and procedures for externally-managed moderation on an annual basis. Where compliance with NZQA Consent and Moderation Requirements (CMR – formerly called AMAPs) is required, the Programme Committee will ensure that procedures will facilitate compliance with CMR requirements.- Establishes a co-ordinated approach to meeting CMR requirements if School/Centre is designated as having 'Host School/Centre' responsibilities for unit standards taught elsewhere in Wintec.- Arranges for the appointment of external moderators.- Submits degree and post-graduate programme external moderation reports to the AAC.- Has overall responsibility for ensuring that all aspects of the moderation process are completed.

Procedure

Part B: Assessment and Moderation

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Team Manager	<ul style="list-style-type: none">- Is responsible for ensuring that all aspects of the moderation process are completed.- Ensures that the annual moderation schedule for their School/Centre is implemented.- Ensures that moderation occurs (both Wintec-managed and externally-managed).
Academic Staff Members	<ul style="list-style-type: none">- Implement moderation as and when specified in the School/Centre annual moderation schedule.- Ensure that all moderation reports are presented to the Programme Committee.- Work within the moderation processes and timeframes required by their Programme Committee.- Supply all documentation required for all Wintec-managed and externally-managed moderation processes.- Complete all assigned moderator duties in a timely and professional manner.- Actively seek support from the appropriate capability support unit if professional learning support is required.

8. MEASUREMENTS OF SUCCESS

- There is an active Wintec annual moderation schedule in every School/Centre.
- Every active module is moderated (both internally and externally) within a three-year cycle.
- Programme Committees report that continuous improvement of teaching and learning and assessment practice occurs as a result of moderation.

9. RECORDS MANAGEMENT

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice, and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Moderation materials and outcomes	7 years after date of last action	Destroy

SECTION AM7: CONDUCT OF TESTS AND EXAMINATIONS

DEFINITIONS

Closed Book	Where an examination is designated by the Programme Committee as 'closed book', students shall not take any written, printed or electronic materials into the examination room.
Examination	An assessment that occurs in a supervised and controlled environment and generally results in written assessment evidence. It is more formal and longer in duration than a test; contributing a greater percentage of the overall grade. Formal examinations require supervision from staff other than the tutor, e.g. an external invigilator or staff member that does not teach on the module.
Open Book	Where an examination is designated by the Programme Committee as 'open book', students may take into the examination room any permitted and specified materials.
Restricted Materials	Where an examination is designated by the Programme Committee as 'restricted materials', students shall take into the examination room only such material as may be specified by the examiner. Such material shall not be annotated, written or typed upon, or otherwise marked.
Restricted Materials – 'may be written upon'	Where an examination is designated by the Programme Committee as "restricted materials – 'may be written upon'", the students shall take into the examination room only material specified by the examiner, and that material may be annotated, written or typed upon or otherwise marked in a relevant or contextual manner.
Side-lining	Line in the side margins of a text to highlight importance of section. Similar to underlining.
Test	Less formal than an examination and generally administered by the class tutor and conducted within the classroom or similar environment. The duration of a test may last for only five minutes to an entire class period, but generally no longer than one hour. The frequency and setting by which tests are administered are highly variable – a class tutor may, for example, administer a test on a weekly basis or just twice a semester.

Referred to in Section AR:4 - Assessment of the Academic Regulations.

AM7.1 Entering and Leaving the Test/Examination Room

- a. In the case of tests and examinations **lasting one hour:**
 - i. No student will be allowed to enter the room for a test or examination more than 15 minutes after students have begun writing the test or examination;
 - ii. No student will be permitted to leave the room until 30 minutes has elapsed from the time the test or examination began;
 - iii. No student is permitted to leave the room during the last 15 minutes of the test or examination.
- b. In the case of tests and examinations **lasting more than one hour:**

-
- i. No student will be allowed to enter the room for a test or examination later than 30 minutes after students have begun writing the test or examination;
 - ii. No student will be permitted to leave the room until 45 minutes has elapsed from the time the test or examination began;
 - iii. No student is permitted to leave the room during the last 15 minutes of the test or examinations.

AM7.2 Examination Room Materials and Devices

- a. No student is permitted to bring into a test or examination an electronic calculator except by direction of the assessor. Where a test or examination has been designated 'calculator permitted':
 - i. The calculator used in the test or examination must be electronic, truly portable and self-powered, and noiseless (no audible alarms may be used);
 - ii. No supplementary material (e.g. operating manuals) related to the use and operation of the calculator will be permitted in the test or examination room other than spare batteries;
 - iii. In all cases, it is the responsibility of the student to maintain the operation and operating power of the calculator.
- b. No student is permitted to bring into a test or examination any electronic dictionary or other written or printed matter or information stored in an electronic or recording device, including cell phone and mobile devices or any electronic device that is able to connect to the internet, nor is any student permitted to bring into a test or examination any electronic device that can connect to the internet allowing students to access information, except by direction of the assessor.
 - i. Where a test or examination is 'Open Book' students may take into the test or examination room any written or printed material including books, acts, etc, and there will be no check on items taken into the test or examination room.
 - ii. Where a test or examination is designated 'Restricted Materials', students may take into the test or examination room only material specified by the assessor, and that material must not be annotated, written or typed upon, or otherwise marked except by underlining or side-lining. Material taken into tests or examinations designated 'Restricted Materials' is subject to inspection and confiscation by the room supervisor, assessor or any person employed by Wintec.
 - iii. Where a test or examination is designated "Restricted Materials – 'may be written upon'", students must take into the test or examination room only material specified by the assessor, and that material may be annotated, written or typed upon or otherwise marked in a relevant and contextual manner.
 - iv. Material and devices not approved for use in a test or examination, and personal belongings, must be left in a designated area. The designated area will be determined by the room supervisor.
 - v. All paper used during a test or examination must be handed to the room supervisor before the student leaves the room.

-
- vi. Where material is permitted under the rules of this section, assessors will be required to be present at the commencement of the test or examination to check material brought into the room.

AM7.3 Student Conduct

- a. Students must obey the instructions of the assessor/room supervisor in any test or examination.
- b. Students must not begin writing their answers until the assessor/room supervisor announces that they may do so.
 - i. The assessor may allow students to read their test or examination papers for a maximum of ten minutes before the writing time of the test or examination commences.
- c. No student will communicate with another in the test or examination room.
- d. A student's behaviour during a test/examination must not disturb, distract or adversely affect any other student. Refer to the [Code of Conduct for Students, Peer Tutors and Student Mentors](#).
- e. No student will borrow materials from another student or share materials with another student in a test or examination room except where this has been expressly authorised by the assessor.
- f. No student will continue writing an answer after the room supervisor has announced the expiration of time. In no circumstances is additional time allowed for students to read over their scripts or make an amendment or addition.
- g. Examinations held under the authority of external agencies and/or organisations will be conducted and administered under provisions and regulations set by those agencies and/or organisations.

AM7.4 Online Tests/Examinations

- a. The provision for and conduct of online tests and examinations will be established and set by the Programme Committee. In general online tests and examinations will follow the same principles outlined as follows:
 - i. Where appropriate, students must write answers in the presence of a supervisor who will be appointed by Wintec.
 - ii. Where appropriate, students will not be permitted to bring with them into a test or examination environment any unauthorised material or written or printed matter. Students must observe any rules specifying the type of equipment, such as calculators, that may be used during the test or examination.
 - iii. Students must observe the rules regarding the conduct of tests and examinations and must follow the instructions of the supervisors.

AM7.5 Assessor–Student Communications

No student will communicate directly with an assessor in regard to a test or examination from the time it begins until the result is published, but may communicate through the Student Enrolment and Information Centre.

SECTION AM8: ASSESSMENT CONCESSIONS

DEFINITIONS

Classification of Impairment	Classification refers to the timing of the illness/incident that caused the impaired performance or failure to meet the assessment date. Classification is used to determine whether the application can be assessed for Special Consideration, or referred to an alternative application process:
Temporary	An illness/incident that happens at the time of assessment. <ul style="list-style-type: none"> Handled through Special Consideration process.
Permanent	A long-term illness/condition/disability. <ul style="list-style-type: none"> Not handled through Special Consideration. Refer to the policy on Equal Education Opportunities (AC-99/05) Parts A and B
Recurring	An ongoing illness/incident that started as temporary, and continues to impact on assessments for a longer period of time. <ul style="list-style-type: none"> Not automatically handled through the Special Consideration process.
Grounds of Impairment	The reason/cause of impairment:
Personal illness/injury	Temporary illness or accident/injury at the time of assessment.
Bereavement	The death of a close family member or friend at the time of assessment.
Exceptional circumstances beyond the control of a student	The circumstance/s the application is based on; considered on a case-by-case basis. It must be proved that the circumstance/s is outside of the norm, beyond the control of the student, and could not have been anticipated (i.e. the student did not have the opportunity to make alternative arrangements before the assessment date).
Types of Assessment	Assessments are grouped into three categories for Special Consideration. <i>NOTE: A student cannot apply for Special Consideration towards their final grade. Special Consideration is based on impaired performance or failure to attend an assessment item.</i>
Internal assessment	Within the context of Special Consideration, all items of assessment that are not an in-class test/examination or formal examination.
In-class test/examination	All tests and examinations scheduled in class time and/or the formal teaching weeks of the programme.
Formal examination	Examinations held during the formal examination period.
Impact of Impairment	
Unable to present work for an assessment by the due date	Applies to Internal Assessment. The inability to submit take-home work by the due date or present in-class work (e.g. presentation) on the scheduled date.
Prevented from preparing for an assessment	Applies to all three Types of Assessment.
Unable to attend a test or examination	Applies to in-class test/examination and formal examination.
Seriously impaired in the performance in a test or examination or item of assessment	Applies to all in-class assessment and formal examination.
Assessment Concessions	Depending on the combination of factors detailed above, the evidence provided and the overall performance of the student, the outcome may comprise any of the following:
Extension	The approval of extra time to complete and submit an item of assessment (after the published deadline). <ul style="list-style-type: none"> <i>An extension does not create an annotation to the final grade.</i>
Alternative time/alternative assessment	The opportunity for a student to complete an assessment at an alternative time. Depending on the type of assessment, often the alternative time involves an alternative item of assessment. <ul style="list-style-type: none"> <i>Alternative assessment time and/or alternative assessment does not create an annotation to the final grade.</i>
Resubmission/resit	In the context of Special Consideration, the opportunity to resubmit or resit a summative assessment due to impaired performance.

	<ul style="list-style-type: none"> Some modules allow students more than one attempt to pass an item of assessment. These second attempts are not based on impaired performance and are at the discretion of the Programme Committee. Second attempt provisions are specified in the course outline. <i>A resubmission/resit creates an annotation to the final grade – '(r)'.</i>
Learning support	<p>Support provided by Wintec's Student Capability Development team e.g. reader/writer assistance.</p> <ul style="list-style-type: none"> <i>Learning support does not create an annotation to the final grade.</i>
Aegrotat	<p>The consideration of an impairment that impacts on the preparation for, and/or performance in, an assessment item where no further reassessment opportunity is available.</p> <ul style="list-style-type: none"> Aegrotat is not available for competency based assessment; Aegrotat is not available for assessment item/s that measure a learning outcome/s that is not measured by any other assessment item/s within that module; <ul style="list-style-type: none"> The assessment structure specifies which learning outcomes are measured by each assessment item; In most cases this limits aegrotat to final examinations. Aegrotat is only available where there is no opportunity for further assessment attempts; <ul style="list-style-type: none"> Assessment items should be scheduled so that reassessment opportunities are available and manageable. In most cases this limits aegrotat to final examinations. <i>An aegrotat creates an annotation to the final grade – '(a)'.</i>

Referred to in Section AR:4 - Assessment of the Academic Regulations.

- AM8.1 Assessment Concessions are the variations to scheduled assessments that are offered to students with a temporary impairment/s. These concessions remove barriers which prevent students from undertaking assessments, thereby enabling them to pursue their educational and/or vocational goals.
- a. Note that Assessment Concessions are for students with temporary impairments. Opportunities for extensions and resits that are a standard part of the delivery of the module are called Reassessment Provisions and are different to Assessment Concessions. Reassessment Provisions are not for students with **genuinely serious problems or exceptional circumstances beyond the control of the student**.
- AM8.2 It is essential to recognise that a student will experience occasional illness and perhaps other problems or events that coincide with the preparation of internal assessments, tests and examinations, or meeting assessment dates. This is part of everyday life and it is expected that students will manage these situations alongside their commitment to study. Such circumstances do not in themselves excuse failure or impaired performance and do not automatically provide grounds for an Assessment Concession.

AM8.3 Events do not always run smoothly and students are expected to take this into account when managing their study by building in contingency for the unexpected. For example, by ensuring that assignments are completed in good time, or allowing sufficient time to revise for an exam.

AM8.4 Wintec will, however, take account of **genuinely serious problems or exceptional circumstances beyond the control of a student** which have adversely affected their performance in an internal assessment, test or examination. A student may ask for their circumstances to be taken into account by applying for *Special Consideration for Impaired Performance or Failure to Meet Assessment Dates (Special Consideration)*.

It is important to note that students no longer apply for a remedy or solution, e.g. a student does not apply for an aegrotat; nor do they apply for an extension; nor a resit; nor a resubmit. Instead, the student presents their circumstances and evidence to support their claims, and the relevant Team Manager, or delegated authority, decides what the best solution for the student is based on their situation.

AM8.5 In order to successfully complete a module, a student is required to achieve all learning outcomes of that module. The level of achievement is measured through assessment. While Wintec will take into account any genuine cases of impaired performance, Wintec has an obligation to ensure that all students are assessed against all learning outcomes for all modules. Wintec ensures this by having a range of options available, depending on the type of assessment and grounds for impaired performance, for applications for **Special Consideration**. Wintec upholds the integrity of an assessment by ensuring all students are assessed to the same standard.

AM8.6 When students enrol with Wintec it is expected they will do everything they can to successfully complete their programme of study and Wintec is committed to providing the necessary mechanisms to help students achieve this goal. This includes having appropriate support services available to assist students with managing their study. It is expected that students will familiarise themselves with these and use them where appropriate.

AM8.7 An application for **Special Consideration** does not automatically ensure successful completion of a module. Only genuine cases, where evidence confirms that the student has experienced serious issues or exceptional circumstances beyond their control, will be successful.

AM8.8 **Parameters for Special Consideration**

- a. The following parameters will be taken into account when assessing applications for **Special Consideration**:
 - i. Classification of impairment;
 - ii. Grounds;
 - iii. Type of assessment; and
 - iv. Impact of impairment.
- b. Refer to the Definitions Section for an explanation of these terms.
- c. It is the Head of School/Centre Director or delegate's responsibility to ensure that assessment items are scheduled and reassessment opportunities are available and manageable.

AM8.9 **Special Consideration Process**

- a. **Timeframe for applying:**
- It is the student's responsibility to apply for Special Consideration.
 - Where possible, Wintec encourages proactive measures, e.g. the arrangement of learning support for an examination, or the request of an extension before the assessment due date. However, while this is not always possible, applications for Special Consideration must be **submitted** within 5 working days of the illness/incident.
 - Applications for Special Consideration will **not** be accepted after the results of the assessment item/s are released.
- b. **Evidence required:**
- Signed evidence from a Registered Medical or Dental Practitioner, Registered Midwife, Registered Psychologist, or Wintec Counsellor (*to be referred to as 'the Registered Practitioner/s'*) on the nature and severity of the personal illness/injury and the impact of impairment on the assessment preparation/performance.
 - The Registered Practitioner can only assess and comment on what is presented at the time of the consultation. Therefore it is in the best interests of the student to have a consultation whilst the symptoms are present.
 - As it is sometimes unrealistic to expect that a student will secure an appointment with a Registered Practitioner immediately, the student may consult with a Registered Nurse who can make an initial assessment. This assessment can be passed on to the Registered Practitioner who must complete the form.
 - When completing the form the Registered Practitioner must determine the severity and impact of the impairment on the assessment preparation/performance using the following scale:

Minor	Illness, injury or circumstance that falls within the range of normal experiences that any student would face during assessment periods. There is little to no impact on the preparation for, or performance in, an assessment*. Minor illness, injury or circumstance will not affect attendance or the submission of assessment items.
Moderate	Illness, injury or circumstance that probably falls outside the range of normal experiences that any student would face during assessment periods. There probably is substantive or significant impact on the preparation for, or performance in, an assessment*. Moderate illness, injury or circumstance will possibly affect attendance or the submission of assessment items.
Major	Illness, injury or circumstance that clearly falls outside the range of normal experiences that any student would face during assessment periods. There clearly is substantive or significant impact on the preparation for, or performance in, an assessment*. Major illness, injury or circumstance is likely to affect attendance or the submission of assessment items.

* Assessment = internal assessments, tests, and examinations, including formal examinations.

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- iv. For **bereavement**, evidence can include:
 - 1. Stating the nature of the relationship that led to personal grief;
 - 2. Supporting documentation from a Wintec Counsellor;
 - 3. Copy of the death notice.
 - v. For **exceptional circumstances beyond the control of a student**, evidence is dependent on the circumstances, but must prove the circumstances are exceptional, outside of the control of the student, and could not be mitigated through effective time management.
 - vi. It is the student's responsibility to gather the evidence required for an application for Special Consideration.
 - vii. Supporting evidence does not guarantee a successful application. Supporting evidence is just one of the components that will be taken into account (along with the combination of factors that led to the application and the overall performance of the student).
- c. A student is **not** likely to be successful in their application for Special Consideration if it is based upon:
- i. The 'bunching' of examinations or assessment deadlines;
 - ii. Issues caused by being a non-native speaker of English language. Non-native speakers of English should seek advice from Internationalisation and/or Student Capability Development prior to any assessment/s;
 - iii. Poor time management or organisation;
 - iv. Circumstances within the student's control;
 - v. Minor illness/injury;
 - vi. A permanent or recurring condition or disability where the School/Centre has already made special arrangements for the student's assessment/s;
 - vii. Circumstances which were known to the student prior to the date of enrolment.
- d. The Head of School/Centre Director may delegate the assessment of an application for Special Consideration. The application must be assessed on the basis of the evidence provided, within the context of the student's academic achievement in the specific module/s where possible, and overall performance within the programme.
- e. The Head of School/Centre Director, or delegate, must respond to the application within 5 working days of receiving the application. The student must be notified of:
- i. Whether the application is successful or not;
 - ii. If successful, the type of resolution offered;
 - iii. When the type of resolution is due/scheduled.

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- f. Once notified of the outcome of their application, the student should confirm any arrangement with staff from the School/Centre.
 - g. The student can appeal a decision made by the Head of School/Centre Director by sending a letter to the Office of the Dean within 5 working days of receiving that decision.
 - h. When considering the appeal the Dean will review the processes and procedures followed by the Head of School/Centre Director to determine if due process was followed.
 - i. A letter of response will be sent from the Dean to the student/s within 5 working days of the final deliberation, stating the decision and the evidence that led to it.
 - j. Schools/Centres need to keep a complete record of all applications and outcomes, and must report any applications to their Programme Committee. The Programme Committee must report all applications to the Academic Approvals Committee (AAC) through their Tri-annual Report process.
 - k. When a student applies for Special Consideration, an assessment is undertaken by the Head of School/Centre Director or delegated authority. There is a hierarchy to the potential outcomes of Special Consideration cases. The approach used to determine the outcome of a Special Consideration case will ensure that a student will still be able to achieve the required learning outcomes of the module. The following table illustrates how Special Consideration outcomes will be determined:

	Impact of Impairment	Grounds for Impairment	For impairments that occur:	Recommended solution	Timeframe to apply
Module Work/Assignments	Unable to present work for an assessment by due date	Personal Illness/Injury	Within two working days of the due/scheduled date of the assessment	Extensions	No later than five working days after the due/scheduled date of the assessment
				Alternative time	
		Bereavement	Within five working days of the due/scheduled date of the assessment	Extensions	No later than five working days after the due/scheduled date of the assessment
				Alternative time	
		Exceptional Circumstances	Case-by-case	Extension	No later than five working days after the due/scheduled date of the assessment
				Alternative time	
Module Work/Assignments	Prevented from preparing for assessment	Personal Illness/Injury	Within five working days of the due/scheduled date of the assessment	Resubmission/Resit	No later than five working days after the due/scheduled date of the assessment
		Bereavement	Within five working days of the due/scheduled date of the assessment	Resubmission/Resit	No later than five working days after the due/scheduled date of the assessment
		Exceptional Circumstances	Case-by-case	Resubmission/Resit	No later than five working days after the due/scheduled date of the assessment
In Class Tests / Examinations	Prevented from preparing for assessment	Personal Illness/Injury	Within five working days of the due/scheduled date of the assessment	Alternative time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Resit	
		Bereavement	Within five working days of the due/scheduled date of the assessment	Alternative time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Resit	
		Exceptional Circumstances	Case-by-case	Alternative time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Resit	
	Unable to attend test or examination	Personal Illness/Injury	Within two working days of the scheduled date of the assessment	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
		Bereavement	Within five working days of the scheduled date of the assessment	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
		Exceptional Circumstances	Case-by-case	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
	Seriously impaired in the performance in a test or	Personal Illness/Injury	Within two working days of the scheduled date of the assessment	Resit	No later than five working days after the due/scheduled date of the assessment
				Learning support	

	Impact of Impairment	Grounds for Impairment	For impairments that occur:	Recommended solution	Timeframe to apply
	<i>examination or item of assessment</i>	<i>Bereavement</i>	Within five working days of the scheduled date of the assessment	Resit	No later than five working days after the due/scheduled date of the assessment
		<i>Exceptional Circumstances</i>	Case-by-case	Resit	No later than five working days after the due/scheduled date of the assessment
Formal Examinations	<i>Prevented from preparing for assessment</i>	<i>Personal Illness/Injury</i>	Within five working days of the due/scheduled date of the assessment	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
		<i>Bereavement</i>	Within five working days of the due/scheduled date of the assessment	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
		<i>Exceptional Circumstances</i>	Case-by-case	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
	<i>Unable to attend test or examination</i>	<i>Personal Illness/Injury</i>	Within five working days of the scheduled date of the assessment	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
		<i>Bereavement</i>	Within five working days of the scheduled date of the assessment	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
		<i>Exceptional Circumstances</i>	Case-by-case	Alternative Time/Alternative Assessment	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
	<i>Seriously impaired in the performance in a test or examination or item of assessment</i>	<i>Personal Illness/Injury</i>	Within five working days of the scheduled date of the assessment	Learning support	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
		<i>Bereavement</i>	Within five working days of the scheduled date of the assessment	Aegrotat	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	
		<i>Exceptional Circumstances</i>	Case-by-case	Aegrotat	No later than five working days after the due/scheduled date of the assessment
				Aegrotat	

AM8.10 Recurring Impairment and/or Failure to Meet Assessment Dates

- a. When an impairment changes from temporary to recurring, students are required to proactively seek support and guidance on how to deal with the impairment and manage their continued study without relying on the provision of Special Consideration.
- b. It is recommended that students in this situation make an appointment with their School/Centre to gain programme advice. Other support service staff may need to be involved.

AM8.11 Exceptions to these Regulations

- a. Where a programme is co-regulated by a professional body, there may be further requirements and limitations to take into account. Students will need to refer to the regulations of the associated professional body.

SECTION AM9: SPECIAL ARRANGEMENTS FOR FORMAL EXAMINATIONS

- AM9.1 Special Arrangements for Formal Examinations (Special Arrangements) is the formal request to attend an alternative examination to the published examination timetable. Alternative examinations include alternative time and alternative place.
- AM9.2 Special Arrangements must be applied for at least 20 working days before the timetabled formal examinations.
- AM9.3 Special Arrangements are for exceptional circumstances that occur during the timetabled examination period that the student has no control over re-arranging. For example national representation in an international event. Special Arrangements are not for students who want an alternative examination due to conflicts with a planned holiday or personal event.
- AM9.4 **Special Arrangements** are not the same as **Special Consideration** – which is an application based on impaired preparation, attendance or performance. **Special Arrangements** are also not the same as **access arrangements**, which are made to assist permanently impaired students with the opportunity to achieve their academic and/or vocational goals.
- AM9.5 Applications for Special Arrangement for Formal Examinations must be made on the prescribed form which is available from SEIC.
- AM9.6 The Head of School/Centre Director will determine and approve any application for Special Arrangement.
- AM9.7 The student will be notified in writing if an alternative examination has been scheduled.
- AM9.8 **Special Arrangements** are dependent on resourcing and availability and may not always be possible. A student who is aware, at the time of enrolment, of any event or situation that will conflict with their timetabled formal examination/s, should discuss the situation with their School/Centre.

SECTION AM10: POLICY ON AWARDS AND STATEMENTS OF ACHIEVEMENT (AC-15/01)

The policy on Awards and Statements of Achievement Parts A and B (AC-15/01) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Part A: Awards and Statements of Achievement of Wintec

Number: AC-15/01

Policy Owner	Dean	Date Approved:	October 2015
Category:	Academic	Date Last Revised:	October 2015
Refined category:	Governance	Next Review Date:	October 2018
Authorised by	Academic Approvals Committee on behalf of Council		

Awards and Statements of Achievement

1. Purpose and Scope

The conferment of awards and issuing of statements of achievement/completion is governed by Council in accordance with legislative requirements.

This policy relates to the types of awards and statements Wintec can confer/issue, the specific awards that Wintec currently confer and the specific requirements of the award parchment.

The scope of this policy includes Council, Academic Board and all staff involved in the conferment of awards and issuing of statements of achievement/completion.

2. Policy Statement

Wintec has the ability to confer awards approved and/or accredited by the New Zealand Qualifications Authority; and issue statements of achievement or completion. Through this policy Wintec will:

- Be clear on the types of programmes/qualifications that Wintec delivers that lead to awards
- Be clear on the types of programmes that Wintec delivers to lead to statements of achievement/completion
- Have a current statute detailing all awards that Wintec can confer
- Have a current list of New Zealand and National qualifications that Wintec deliver
- Be clear on the parchment requirements for each type of award

Procedures & Principles



Part B: Awards and Statements of Achievement of Wintec

Number: AC-15/01

Policy Owner	Dean	Date Approved:	October 2015
Category:	Academic	Date Last Revised:	October 2015
Refined category:	Governance	Next Review Date:	October 2018
Authorised by	Academic Board on behalf of Council		

Part One: Awards and Statements of Achievement

1. Definitions

Accreditation	As per section 250 of the Education Act 1989 NZQA has the power to accredit institutions to deliver approved programmes of study that leads to a qualification/s
[Programme] Approval	As per section 249 of the Education Act 1989 NZQA has the power to approve programmes of study that leads to a qualification/s
Award [of a qualification]	The issuing/conferment of a qualification that is listed on the NZQF.
Certificate of Proficiency (COP)	The term used at Wintec to cover both Certificate of Proficiency (COP) and Certificate of Personal Interest (CPI). These are ad hoc programmes of study that consist of modules from approved programmes/qualifications that meet the individual student's needs. A COP student can be presented with a certificate detailing the modules that student completed.
Local Qualifications	Local qualifications are being phased out and replaced by New Zealand qualifications as an outcome of the Targeted Review of Qualifications (TRoQ). Prior to the TRoQ all level 1 – 6 qualifications were either local (owned by the approved provider) or owned by NZQA (national certificates/diplomas).
National Qualifications	National qualifications are being phased out and replaced by New Zealand qualifications as an outcome of the Targeted Review of Qualifications (TRoQ). Prior to the TRoQ all level 1 – 6 qualifications were either owned by NZQA (national certificates/diplomas) or local (owned by the approved provider).
New Zealand Qualifications	New Zealand qualifications range from level 1 – 6 on the NZQF and can be either certificate or diploma qualification types. NZ qualifications replace national and local qualifications as an outcome of the Targeted Review of Qualification (TRoQ). Note: all qualifications at level 1 – 6 MUST be a New Zealand qualification – there is no concept of a local qualification in the post-TRoQ environment.
New Zealand Qualifications Authority (NZQA)	Crown entity tasked by the NZ Government to provide leadership in assessment and qualifications. NZQA is the sole credentialing body for Institutes of Technologies/Polytechnics (ITPs); Private Training Institutes (PTIs); and Industry Training Organisations (ITOs). Part 20 of the Education Act 1989 states the powers and functions of NZQA.

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Universities New Zealand (established as the New Zealand Vice Chancellors' Committee under the Education Act 1989) is the equivalent body for universities.

New Zealand Qualifications Framework (NZQF)	Register of all approved qualifications in NZ at senior secondary and tertiary level. It is the definitive source used by other agencies (both nationally and internationally) to confirm the currency, accuracy and authenticity of a qualification, who is accredited to deliver the programme and who can award the qualification.
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New Zealand Qualification Framework (NZQF) Levels	Ranges from levels 1 – 10. A summary of the NZQF Level Descriptors (be, know and do) is detailed in Appendix One
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New Zealand Qualification Framework (NZQF)¹² Qualification Type definitions:

Certificate	Ranges from level 1 – 6 on the NZQF. Design features detailed below by level
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Level 1	Qualifies an individual with basic knowledge and skills for work, further learning and/or community involvement . A level 1 certificate requires a minimum of 40 credits at level 1 or above.
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Level 2	Qualifies an individual with introductory knowledge and skills for a field(s)/areas of work or study . A level 2 certificate requires a minimum of 40 credits at level 2 or above.
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Level 3	Qualifies an individual with introductory knowledge and skills for specific role(s) within fields/areas of work and/or preparation for further study . A level 3 certificate requires a minimum of 40 credits at level 3 or above.
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Level 4	Qualifies an individual to work or study in broad or specialised field(s)/areas . A level 4 certificate requires a minimum of 40 credits at level 4 or above.
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Level 5	Qualifies an individual with theoretical and/or technical knowledge and skills within an aspect(s) of a specific field of work or study . A level 5 certificate requires a minimum of 40 credits at level 5 or above.
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Level 6	Qualifies an individual with theoretical and/or technical knowledge and skills within an aspect(s) of a specialised/strategic context . A level 6 certificate requires a minimum of 40 credits at level 6 or above.
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Diploma	Ranges from level 5 – 7 on the NZQF. Design features detailed below by level
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¹² [As listed on] The New Zealand Qualifications Framework (2014). Retrieved from <http://www.nzqa.govt.nz/assets/Studying-in-NZ/New-Zealand-Qualification-Framework/requirements-nzqf.pdf>

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Level 5 Qualifies individuals with theoretical and/or technical knowledge and skills **within a specific field of work or study**. A level 5 diploma requires a minimum of 120 credits for level 4 or above with a minimum of 72 credits at level 5 (or above).

Level 6 Qualifies individuals with theoretical and/or technical knowledge and skills **in a specialised/strategic context**. A level 6 diploma requires a minimum of 120 credits for level 5 or above with a minimum of 72 credits at level 6 (or above).

Level 7 Qualifies individuals with specialised and technical knowledge and skills **within a professional context**. A level 7 diploma requires a minimum of 120 credits for level 5 or above with a minimum of 72 credits at level 7 (or above).

Bachelor Degree Level 7 on the NZQF, a bachelors is the first level of the degrees (honours, masters, doctorate being the higher levels). A bachelor's degree is a coherent body of knowledge with a focus on at least one recognised major subject. There is also the expected development of soft skills, critical thinking, and self-directed work and learning. A standard bachelor's degree (e.g. BA) would be 360 credits taught over three years, a 'professional' bachelor's degree (e.g. LLB) 480 credits over four years. Each year of study should advance the previous year's body of knowledge and cover introductory modules (level 5 on the NZQF) through to advanced level modules in the major subject (level 7 on the NZQF).

Graduate Certificate/Diploma Level 7 on the NZQF, a graduate certificate/diploma is for degree graduates who want to further their undergraduate study in a subject area that differs from their degree. A graduate certificate requires a minimum of 60 credits with 40 at level 7 and a graduate diploma requires a minimum of 120 credits with a minimum of 72 at level 7. A graduate certificate/diploma would consist of the modules for a major subject only and would normally be delivered over six months (certificate) to a year (diploma).

Bachelor Honours Degree Level 8 on the NZQF, a bachelor with honours degree is either a (minimum) four year combined bachelors and bachelor with honours degree or a distinct post graduate degree that follows the bachelor's. A combined bachelor with honours degree requires 480 credits and a distinct bachelor with honours degree requires 120 credits. A bachelor with honours (either component of the combined degree or distinct qualification) would normally consist of postgraduate level study that advances the major subject of a student's bachelor's degree. There is an expectation of intellectual independence, research capability and analytical robustness. A bachelor with honours degree may be awarded with a level of honours (first class; second class (first division); second class (second division); or third class).

Postgraduate Certificate/Diploma	Level 8 on the NZQF; a postgraduate certificate/diploma can advance the study of the three undergraduate qualifications (bachelor's degree; graduate certificate/diploma); or provide students a pathway into a master's degree in either academic achievement or professional development. A postgraduate certificate requires a minimum of 60 credits at level 8; while a postgraduate diploma requires a minimum of 120 credits, including a minimum of 72 credits at level 8. There is an expectation that a postgraduate diploma will prepare a student for independent research and academic rigour at postgraduate level.
Master's degree	Level 9 on the NZQF; a master's degree is advanced study to leads to the mastery of a specialised field or professional practice. There are three types of master's: by thesis only which requires 120 credits at level 9; through a combination of modules and thesis which requires a minimum of 240 credits and includes a form of research (e.g. thesis, dissertation or research paper) that is a minimum of 90 credits at level 9; through module work only which requires a minimum of 120 through to 240 credits, but still includes some form of research project. There is an expectation that a master's degree will create a piece of original research to internationally recognised standards.
Parchment	The document awarded/presented to a student.
Short Course	<p>The term used at Wintec for 'exemptions to training schemes'. Short courses are deemed exceptions to training schemes and:</p> <ul style="list-style-type: none">- Be recreational in nature; or.- Be for corporate training, other than those designed to meet regulatory requirements for occupations registration or licencing or health and safety in the workplace. <p>Short courses do not attract SAC funding.</p>
Training Schemes	<p>The Education Act 1989 defines training scheme as "study and training that leads to an award but does not, of itself, lead to a qualification listed on the New Zealand Qualification Framework (NZQF). While not listed on the NZQF, training scheme programmes align to the levels of the NZQF (1-9) and any award of a training scheme will meet the same characteristics and definitions of the NZQF levels (detailed below).</p> <p>A training scheme must not replicate any qualifications listed on the framework.</p> <p>Training Schemes replaced short awards.</p>
Wintec Awards	A loose umbrella term for all level 7 and above qualifications that Wintec has approval and accreditation to deliver (as per NZQA) and authority to award (as per the Education Act 1989).

2. The award of qualifications at Wintec

Under [section 193 \(2\) \(a\) of the Education Act](#), Council has the power “to [provide courses of study or training, admit students (including provisionally and *ad eundem statum*) and] grant awards”. Under section 222 of the Education Act, and as detailed in Wintec’s Statute A: Delegation of Powers Statute 1995, Council has delegated this power to the Academic Board.

Under [section 167 of the Education Act](#), Council has the power to affix the common seal of Wintec to an award, counter signed by one or two members of Council. The specifics of this are detailed in Part Four: Parchments.

2.1. The award of level 7 and above¹³ qualifications

- a) Wintec awards are listed on the NZQF as approved programmes that lead to a qualification and that Wintec is accredited to deliver.
- b) On completion of all requirements for the award of a qualification as specified in the relevant Programme Regulations, students may achieve one of the following Level 7 or above awards:
 - i Diploma
 - ii Bachelor Degree
 - iii Graduate Certificate
 - iv Graduate Diploma
 - v Bachelor Degree with Honours
 - vi Postgraduate Certificate
 - vii Postgraduate Diploma
 - viii Master Degree

2.2. The award of New Zealand Qualifications

- a) Wintec may award level 1 – 6 New Zealand qualifications that Wintec are accredited to deliver as listed on the NZQF.
- b) On completion of all requirements for the award of a qualification as specified in the relevant Programme Regulations, students may achieve one of the following awards:
 - i New Zealand Certificate
 - ii New Zealand Diploma

2.3. The award of Local qualifications at listed at level 1 – 6 on the NZQF

¹³ As specified on the New Zealand Qualifications Framework

- a) Wintec may award level 1 – 6 local qualifications that:
 - i have a status of 'current' or 'expiring'; and,
 - ii Wintec are accredited to deliver as listed on the NZQF.
- b) On completion of all requirements for the award of a qualification as specified in the relevant Programme Regulations, students may achieve one of the following level 1- 6 awards:
 - i Certificate
 - ii Diploma

2.4. The award of a Wintec training scheme

- a) On completion of all requirements for the award of a training scheme as specified in the relevant Programme Specifications, students may achieve the following award:
 - i Certificate

3. The issuing of National qualifications listed at level 1- 6 on the NZQF

- a) National qualifications at level 1 – 6 on the NZQF are issued by NZQA. NZQA may issue a national qualification that:
 - i have a status of 'current' or 'expiring'; and,
 - ii Wintec are accredited to deliver as listed on the NZQF.
- b) On completion of all requirements for the award of a qualification as specified in the relevant Programme Regulations, students may achieve one of the following level 1- 6 awards:
 - i National Certificate
 - ii National Diploma
- c) Graduands must apply directly to NZQA for national qualifications.

4. The presentation of Certificates of Proficiency

- 4.1. Certificates of Proficiency are not formal awards of Wintec. However, at the discretion of the relevant Head of School/Centre Director, a student may be presented with a formal parchment detailing the modules that have been successfully completed.

5. The recognition of Short Courses

- 5.1. Certificates of Proficiency and Short Courses are not awards of Wintec. However students may receive a statement of achievement or recognition on completion of the agreed programme.
 - a) The provision to provide a statement should be confirmed during the development stage of a short course.

6. Discontinued qualifications

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- 6.1. Wintec may not award a qualification that has discontinued status. The exception would be if the requirements for that qualification were completed prior to discontinuation, but the qualification had not yet been awarded. Discontinued qualifications may be reissued in terms of a replacement parchment.

Part Two: Awards Statute

The Council of the Waikato Institute of Technology (Wintec) hereby makes the following statute in consultation with the Academic Board, pursuant to [Section 194\(1\)g of the Education Act 1989](#).

- I. This statute prescribes the qualifications awarded by Wintec¹⁴.
- II. The following *postgraduate qualifications* may be awarded over the common seal of the Waikato Institute of Technology to any person who completes all modules in accordance with the regulations for that qualification:

Bachelor of Media Arts – Honours
Bachelor of Sport and Exercise Science (Honours)
Master of Arts
Master of Nursing
Master of Science (Sport and Exercise Science)
Master of Transdisciplinary Research and Innovation
Postgraduate Certificate in Midwifery¹⁵
Postgraduate Certificate in Health and Social Practice¹⁶
Postgraduate Certificate in Professional Supervision¹⁷
Postgraduate Certificate in Sport and Exercise Science
Postgraduate Certificate in Transdisciplinary Research
Postgraduate Diploma in Applied Informatics
Postgraduate Diploma in Health and Social Practice
Postgraduate Diploma in Nursing (Level 8)
Postgraduate Diploma in Sport and Exercise Science

- III. The following *degree qualifications* may be awarded over the common seal of the Waikato Institute of Technology to any person who completes all modules in accordance with the regulations for that qualification:

Bachelor of Applied Information Technology

¹⁴ This list does not include qualifications that are with NZQA for approval at the time of publication of the Academic Regulations.

¹⁵ Embedded qualification within Postgraduate Diploma in Health and Social Practice.

¹⁶ Embedded qualification within Postgraduate Diploma in Health and Social Practice.

¹⁷ Embedded qualification within Postgraduate Diploma in Health and Social Practice.

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Bachelor of Applied Management
Bachelor of Applied Social Science
Bachelor of Business Studies
Bachelor of Engineering Technology
Bachelor of Information Technology
Bachelor of Media Arts
Bachelor of Midwifery
Bachelor of Nursing
Bachelor of Social Work
Bachelor of Sport and Exercise Science
Bachelor of Teaching (Early Childhood Education)
Bachelor of Technology
Paetahi Tumu Kōrero – Bachelor of Counselling

- IV. The following *diploma qualifications* may be awarded over the common seal of the Waikato Institute of Technology to any person who completes all modules in accordance with the regulations for that qualification:

Graduate Diploma in Accounting
Graduate Diploma in Business Studies
Graduate Diploma in Communication
Graduate Diploma in Event Management
Graduate Diploma in Human Resource Management
Graduate Diploma in Information Technology
Graduate Diploma in Innovation and Entrepreneurship
Graduate Diploma in Operations and Production Management
Graduate Diploma in Practical Event Management
Graduate Diploma in Sales and Marketing
Graduate Diploma in Sport and Exercise Science
Graduate Diploma in Strategic Management
Graduate Diploma in Teaching English to Speakers of Other Languages
Graduate Diploma of Information Technology in Education

- V. The following *training scheme qualifications* may be awarded without the common seal of the Waikato Institute of Technology to any person who completes all modules in accordance with the regulations for that qualification:

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Certificate in Architectural Design (Level 3)
Certificate in Building and Construction (Level 3)
Certificate in Creative Industries (Performing Arts Production) (Level 2)
Certificate in Educational Achievement in Automotive Engineering (Level 3)
Certificate in Educational Achievement in Mechanical Engineering (Fabrication) (Level 3)
Certificate in Educational Achievement in Mechanical Engineering (General) (Level 3)
Certificate in Manufacturing and Technology (Level 2)
Certificate in Services Industries Sector (Level 3)
Certificate in Social and Community Services (Level 2)
Certificate in Te Reo and Tikanga Maaori (Waikato Tainui) (Level 3)
Short Course in ATV Safety
Short Course in Cervical Smear Taking (Level 7) (level 7)
Short Course in Diabetes Care and Management (Level 7)
Short Course in Electrical Service Technician A (level 7)
Short Course Certificate in Midwifery (Competence Assessment Programme) (Level 7)
Short Course in Rural Fencing (Level 2)
Short Course in Solar Hot Water Installations L2 (level 2)
Short Course in Supervision (Health and Social Services) (Level 7)

VI. The following *level 1 -6 qualifications*, that are being transitioned out as part of the Targeted Review of Qualifications, may be awarded with the common seal of the Waikato Institute of Technology to any person who completes all modules in accordance with the regulations for that qualification:

Certificate in Arboriculture (Level 3)
Certificate in Arboriculture (Level 4)
Certificate in Beauty Clinic Practices (Level 4)
Certificate in Building (Level 4)
Certificate in Cookery (Level 3)
Certificate in Cookery (Level 4)
Certificate in Electricity Supply (Level 2)
Certificate in Engineering and Automotive Trades (Level 2)
Certificate in Fitness Industry Training (Level 4)
Certificate in Floristry Practice (Level 3)
Certificate in Hairdressing (Level 3)
Certificate in Hairdressing (Level 4)
Certificate in Introduction to Trades (Level 2)
Certificate in Large Animal Technology (Level 4)
Certificate in Motor Industry (Introductory Motorsport) (Level 3)

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Certificate in Outdoor Adventure and Recreation (Level 4)
Certificate in Retail and Wholesale Travel (Level 4)
Certificate in Social Services (Level 4)
Certificate in Trade Technology (Level 3)
Certificate in Training Opportunities for Speakers of Other Languages (Level 1)
Certificate in Veterinary Nursing (Level 5)
Certificate for Production Animal Technicians (Level 5)
Diploma in Arboriculture (Level 6)
Diploma in Beauty, Body and Spa Therapies (Level 5)
Diploma in Business Administration (Level 5)
Diploma in Business Enterprise (Level 6)
Diploma in Business Management (Level 5)
Diploma in Business Studies (Level 5)
Diploma in English as an Additional Language (Level 5)
Diploma in Enrolled Nursing (Level 5)
Diploma in Fashion Design and Practice (Level 6)
Diploma in Information and Communications Technology (Level 5)
Diploma in Information and Communications Technology (Level 6)
Diploma in Interior Design (Level 6)
Diploma in International Tourism (Level 6)
Diploma in Personal Training (Level 5)
Diploma in Sport and Recreation (Level 5)
Diploma in Technology (Level 6)
Diploma in Veterinary Nursing (Level 6)

VII. The following *level 1 -6 qualifications*, that are being transitioned out as part of the Targeted Review of Qualifications, may be awarded without the common seal of the Waikato Institute of Technology to any person who completes all modules in accordance with the regulations for that qualification:

Certificate in Adult and Tertiary Education (Level 5)
Certificate in Animal Care (Level 4)
Certificate in Applied Technology (Level 3)
Certificate in Business Administration and Computing (Level 3)
Certificate in Business Administration and Computing (Level 4)
Certificate in Computing and Information Technology (Level 5)
Certificate in Dairy Technology (Level 3)
Certificate in Electrical Engineering (Level 2)
Certificate in English as an Additional Language (Level 5)

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Certificate in ESOL Development (Level 2) (Elementary)
Certificate in ESOL Discovery (Level 4) (Upper Intermediate)
Certificate in ESOL First Steps (Level 1) (Introductory)
Certificate in ESOL Growth (Level 1) (Beginner)
Certificate in ESOL Progression (Level 3) (Intermediate)
Certificate in Introduction to Study (Level 2)
Certificate in Introduction to Study (Level 4)
Certificate in Management (Level 4) (level 4)
Certificate in Massage (Level 4)
Certificate in Media Arts (Level 4)
Certificate in Open, Flexible and Networked Learning (Level 5)
Certificate in Pre-Trade Painting (Level 2)
Certificate in Pre-Trade Painting (Level 3)
Certificate in Radio Broadcasting (Level 4)
Certificate in Rural Skills (Agriculture) (Level 2)
Certificate in Rural Technology (Level 3)
Certificate in Technology (Level 4)
Certificate in Trades Environment (Level 2)
Certificate of University Preparation (Level 4)

VIII. Special Honour and Recognition Awards

In accordance with Section 193 of the Education Act (as amended in 1990), the Council may make the following special honour and recognition awards:

Honorary Fellow
Honorary Fellow (International)
Honorary Degrees (such degrees as specified in Sections II and III of this statute)
Visiting Scholar
Institutional Medal
Staff Merit Awards

Part Three: New Zealand Qualifications Framework awards

The following is a list of qualifications listed on the New Zealand Qualifications Framework that Wintec is accredited to deliver.

I. New Zealand Qualifications¹⁸

The following are New Zealand qualifications that Wintec is approved and accredited to deliver. These qualifications are issued by Wintec on behalf of the New Zealand Qualifications Authority (NZQA).

New Zealand Certificate in Animal Care (Companion Animals) (Level 3)

New Zealand Certificate in Animal Technology (Level 5)

New Zealand Certificate in Business (Administration and Technology) (Level 3)

New Zealand Certificate in Cookery (Level 4)

New Zealand Certificate in English Language (Foundation) (Level 1)

New Zealand Certificate in English Language (Level 1)

New Zealand Certificate in English Language (Level 2)

New Zealand Certificate in English Language (Academic/Workplace) (Level 3)

New Zealand Certificate in English Language (Academic/Workplace) (Level 4)

New Zealand Certificate in English Language (Academic/Professional) (Level 5)

New Zealand Certificate in Food and Beverage Service (Level 3)

New Zealand Certificate in Food and Beverage Service (Level 4)

New Zealand Certificate in Industrial Measurement and Control (Theory) (Level 4)

New Zealand Certificate in Information Technology (Level 5)

New Zealand Certificate in Tourism (Level 4)

¹⁸ This list does not include qualifications that are with NZQA for approval at the time of publication of the Academic Regulations.

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New Zealand Diploma in Agribusiness Management (Level 5)

New Zealand Diploma in Architectural Technology (Level 6)

New Zealand Diploma in Cookery (Level 5)

New Zealand Diploma in Construction (Level 6)

New Zealand Diploma in Dairy Processing (Level 6)

New Zealand Diploma in Engineering (Civil Engineering) (Level 6)

New Zealand Diploma in Engineering (Electrical Engineering) (Level 6)

New Zealand Diploma in Engineering (Mechanical Engineering) (Level 6)

New Zealand Diploma in Information Technology Technical Support (Level 5)

New Zealand Diploma in Tourism and Travel (Level 5)

II. National Qualifications¹⁹

The following are the National and New Zealand qualifications that are being transitioned out as part of the Targeted Review of Qualifications. These qualifications may be issued by Wintec on behalf of the New Zealand Qualifications Authority (NZQA) or awarded directly by NZQA.

National Certificate in Adult Literacy and Numeracy Education (Vocational Workplace) (Level 5)

National Certificate in Agriculture (General Skills) (Level 2)

National Certificate in Business Administration and Computing (Level 2)

National Certificate in Business (First Line Management) (Level 3)

¹⁹ This list only details qualifications with 'open' Programme Regulations. It is not a complete list of all National and New Zealand Diplomas that Wintec has approval and accreditation to deliver.

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National Certificate in Business (First Line Management) (Level 4)

National Certificate in Carpentry (Level 4)

National Certificate in Community Support Services (Foundation Skills) Level 2)

National Certificate in Computing (Level 3)

National Certificate in Drainlaying

National Certificate in Electrical Engineering (Level 2)

National Certificate in Electrical Engineering (Level 3)

National Certificate in Electrical Engineering (Electrician for Registration) (Level 4)

National Certificate in Electrical Engineering (Advanced trade) (Level 5)

National Certificate in Financial Services (Financial Advice) (Level 5)

National Certificate in Horticulture (Advanced) (Level 4)

National Certificate in Horticulture (Level 4)

National Certificate in Horticulture (Introductory) (Level 2)

National Certificate in Hospitality (Specialist Food and Beverage Service) (Level 4)

National Certificate in Hospitality (Food and Beverage Service) (Level 3)

National Certificate in Industrial Measurement and Control (Level 4)

National Certificate in Industrial Measurement and Control (Level 5)

National Certificate in Mechanical Engineering (Level 2)

National Certificate in Mechanical Engineering (Level 5)

National Certificate in Mental Health and Addiction Support (Level 4)

National Certificate in Motor Industry (Entry Skills) (Level 2)

National Certificate in Service Sector (Level 3)

New Zealand Certificate in Nanny Education (Level 5)

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National Diploma in Agribusiness Management (Level 5)

National Diploma in Architectural Technology (Level 6)

National Diploma in Construction Management (Level 6)

National Diploma in Engineering (Electrotechnology) (Level 6)

National Diploma in Engineering (Mechanical Engineering) (Level 6)

National Diploma in Journalism (Multi-Media) (Level 5)

National Diploma in Mental Health (Mental Health Support Work) (Level 6)

National Diploma in Quantity Surveying (Level 6)

New Zealand Diploma in Business (Level 6)

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Part Four: Parchments

The format of the award parchments must comply with the specifications below:

Awards of Wintec:

ARION Type	Award	Criteria	Size	Material	Seal	Parchment requirements	Script
	Diploma (Level 7)	Quality approved programme that leads to a qualification listed on the NZQF at level 7.	A4	Knight pure white 180gsm parchment	Yes	<p>The parchment must include the following:</p> <ul style="list-style-type: none"> • The Wintec logo and name 'Waikato Institute of Technology' • The name of the qualification • The date of awarding the qualification • The legal name of the person receiving the qualification • The signature of the Chair of Council • The signature of the Chair of the Academic Board 	<p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>Having satisfied the requirements of the Waikato Institute of Technology, has been awarded the</p> <p>[Name of diploma]</p>
	Degrees	Quality approved programmes requiring three years or more equivalent full- time study, listed on the NZQF at level 7.	A4	Knight pure white 180gsm parchment	Yes		<p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>has satisfied the requirements of the Waikato Institute of Technology and has been admitted to the degree of:</p> <p>[Name of bachelor degree]</p>

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ARION Type	Award	Criteria	Size	Material	Seal	Parchment requirements	Script										
	Graduate certificates and diplomas	Quality approved programme that leads to a qualification listed on the NZQF at level 7.	A4	Knight pure white 180gsm parchment	Yes		<p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>has satisfied the requirements of the Waikato Institute of Technology and has been admitted to the degree of:</p> <p>[Name of graduate cert/dip]</p>										
	Bachelors with honours and Masters	Quality approved programmes requiring six months or more equivalent full-time study; that lead to a qualification listed on the NZQF at levels 8 – 9.	A4	Knight pure white 180gsm parchment	Yes	<div><p>The parchment must include the following:</p><ul style="list-style-type: none">The Wintec logo and name ‘Waikato Institute of Technology’The name of the qualificationThe level of honoursThe date of awarding the qualificationThe legal name of the person receiving the qualificationThe signature of the Chair of CouncilThe signature of the Chair of the Academic Board<p>Level of Honours may be awards as follows:</p><table><tr><th>Qual Type</th><th>Level of Honours</th></tr><tr><td>Postgraduate Diploma</td><td>Distinction</td></tr><tr><td rowspan="3">Bachelor with Honours</td><td>First Class;</td></tr><tr><td>Second Class (first division);</td></tr><tr><td>Second Class (second division);</td></tr><tr><td></td><td>Third Class;</td></tr></table></div>	Qual Type	Level of Honours	Postgraduate Diploma	Distinction	Bachelor with Honours	First Class;	Second Class (first division);	Second Class (second division);		Third Class;	<p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>Having satisfied the requirements of the Waikato Institute of Technology, has been admitted to the degree of</p> <p>[Name of bachelor degree with honours/masters] with [level of honours if appropriate]</p>
Qual Type	Level of Honours																
Postgraduate Diploma	Distinction																
Bachelor with Honours	First Class;																
	Second Class (first division);																
	Second Class (second division);																
	Third Class;																
			A4		Yes	<table><tr><td>Bachelor with Honours</td><td>Second Class (second division);</td><td rowspan="2">This is to certify that on [Day] [Month] [Year]</td></tr><tr><td></td><td>Third Class;</td></tr></table>	Bachelor with Honours	Second Class (second division);	This is to certify that on [Day] [Month] [Year]		Third Class;						
Bachelor with Honours	Second Class (second division);	This is to certify that on [Day] [Month] [Year]															
	Third Class;																

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ARION Type	Award	Criteria		Size	Material	Seal	Parchment requirements		Script
	Post-graduate certificates and diplomas	Quality approved programmes requiring six months or more equivalent full-time study; that lead to a qualification listed on the NZQF at levels 8 – 9.			Knight pure white 180gsm parchment			No honours	[Name of Student] Having satisfied the requirements of the Waikato Institute of Technology, has been awarded the [Name of postgraduate cert/dip] with [level of award if appropriate]
							First Class;		
							Second Class (first division);		
							Second Class (second division);		
							Third Class;		
							No honours;		
							Or Distinction		
							Check programme regulations for specifics		
	Jointly delivered/ jointly awarded	Quality approved programmes that lead to a qualification listed on the NZQF.	A Wintec programme delivered at another institutions site (site accreditation)	Specifications are dependent on the level as detailed above, and unless otherwise stated in the contract no reference to the other institution is made on the award parchment					
			A jointly delivered programme that leads to a Wintec qualification (e.g. on Wintec has accreditation to award the qualification)	Specifications are dependent on the level as detailed above, and wording should be agreed to in the contract. Wording would be similar to “delivered in partnership with” but cannot state it is awarded by both institutions. It would be uncommon to place the other institutions logo in a prominent place on the parchment, if at all.					
			A programme that leads to a jointly awarded qualification (e.g. both Wintec and another institution have accreditation to award the qualification)	Specifications are dependent on the level as detailed above, and wording should be agreed to in the contract. Wording would be along the lines of “jointly awarded by” and have the logo and signatories of both institutions					

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ARION Type	Award	Criteria	Size	Material	Seal	Parchment requirements	Script
	Training Scheme	Quality approved programme that does not lead to a qualification listed on the NZQF, but is registered as a Wintec qualification.	A4	White 160gsm courier ultra-white smooth paper	No	<ul style="list-style-type: none"> The Wintec logo and name 'Waikato Institute of Technology' The legal name of the person receiving the statement The name of the training scheme The level of the training scheme The date of awarding the training scheme The signature of the Chair of the Academic Board 	<p>[Name of Training Scheme]</p> <p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>has met the requirements of the training scheme leading to the above qualification and was awarded this qualification by Waikato Institute of Technology.</p>

New Zealand qualifications:

ARION Type	Award	Criteria	Size	Material	Seal	Parchment requirements	Script
	New Zealand Qualification (Levels 1 – 6)	Level 1 – 6 qualification listed on the New Zealand Qualifications Framework (NZQF)	A4	Not specified	TBD	<p>The parchment must include the following:</p> <ul style="list-style-type: none"> The NZQA logo The Wintec logo and name 'Waikato Institute of Technology' Qual Developer logo (optional) The name of the qualification The level of the qualification NZQF reference number The date of awarding the NZ qualification The legal name of the person receiving the qualification Student NSN The signature of the Chief Executive 	<p>Under Part 20 of the Education Act 1989</p> <p>[Name of NZ Certificate/Diploma]</p> <p>[Level of Qualification]</p> <p>[NZQF reference number]</p> <p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>has met the requirements of the training scheme leading to the above qualification and was awarded this qualification by Waikato Institute of Technology.</p> <p><i>Refer New Zealand Certificate/Diploma Specifications document for exact NZQA requirements.</i></p>

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Level 1 – 6 National and Local qualifications:

Level 1 – 6 qualifications that will be transitioned out as part of the Targeted Review of Qualifications.							
ARION Type	Award	Criteria	Size	Material	Seal	Parchment requirements	Script
	National Qualification	Level 1 – 6 national qualification listed on the New Zealand Qualifications Framework (NZQF)	A4	As specified by external body	No	As specified by external body	Wording as per external body
	Certificates	Formal programmes requiring less than one year equivalent full-time study with summative assessment requirements; equivalent to NZ Register levels 1 – 6.	A4	White 160gsm courier ultra-white smooth paper	Refer Awards Statute	<p>The parchment must include the following:</p> <ul style="list-style-type: none"> • The Wintec logo and name 'Waikato Institute of Technology' • The name of the qualification • The date of awarding the qualification • The legal name of the person receiving the qualification • The signature of the Chair of Council • The signature of the Chair of the Academic Board 	<p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>Having satisfied the requirements of the Waikato Institute of Technology, has been awarded the</p> <p>[Name of certificate]</p>
	Diplomas	Formal programmes requiring one year or more equivalent full-time study; equivalent to NZ Register levels 5 – 6.	A4	Knight pure white 180gsm parchment	Yes	<p>The parchment must include the following:</p> <ul style="list-style-type: none"> • The Wintec logo and name 'Waikato Institute of Technology' • The name of the qualification • The level of honours • The date of awarding the qualification • The legal name of the person receiving the qualification • The signature of the Chair of Council • The signature of the Chair of the Academic Board 	<p>This is to certify that on [Day] [Month] [Year]</p> <p>[Name of Student]</p> <p>Having satisfied the requirements of the Waikato Institute of Technology, has been awarded the</p> <p>[Name of diploma]</p>

Recognition of Achievement:

ARION Type	Award	Criteria	Size	Material	Seal	Parchment requirements	Script
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	Short Course	Programme/modules with no summative assessment. Indication of completion of some other requirement: e.g., attendance.	A5	White paper	No	<ul style="list-style-type: none"> The Wintec logo and name 'Waikato Institute of Technology' The legal name of the person receiving the statement The name of the short course The number of hours of attendance (optional) The date of presenting the statement The signature of the Head of School/Centre Director 	Has completed ... or Has attended ...
	STAR modules	Modules with formal assessment that are quality approved but classified under the Secondary Tertiary Alignment Resource	A5	White paper	No	<ul style="list-style-type: none"> The Wintec logo and name 'Waikato Institute of Technology' The legal name of the person receiving the statement The code and title of the module The level of the module (optional) The credits of the module (optional) The date of presenting the statement The signature of the Head of School/Centre Director 	Has passed the requirements for the following ... credit module ...
	Certificate of Proficiency	Modules with formal assessment that are quality approved under clustered together on an ad hoc individual learner needs basis, under a programme that does not lead to a qualification.					

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NZQF Level Descriptors:

LEVEL	KNOWLEDGE	SKILLS	APPLICATION
1	<ul style="list-style-type: none"> Basic general and/or foundation knowledge 	<ul style="list-style-type: none"> Apply basic solutions to simple problems Apply basic skills required to carry out simple tasks 	<ul style="list-style-type: none"> Highly structured contexts Requiring some responsibility for own learning Interacting with others
2	<ul style="list-style-type: none"> Basic factual and/or operational knowledge of a field of work or study 	<ul style="list-style-type: none"> Apply known solutions to familiar problems Apply standard processes relevant to the field of work or study 	<ul style="list-style-type: none"> General supervision Requiring some responsibility for own learning and performance Collaborating with others
3	<ul style="list-style-type: none"> Some operational and theoretical knowledge in a field of work or study 	<ul style="list-style-type: none"> Select and apply from a range of known solutions to familiar problems Apply a range of standard processes relevant to the field of work or study 	<ul style="list-style-type: none"> Limited supervision Requiring major responsibility for own learning and performance Adapting own behaviour when interacting with others Contributing to group performance
4	<ul style="list-style-type: none"> Broad operational and theoretical knowledge in a field of work or study 	<ul style="list-style-type: none"> Select and apply solutions to familiar and sometimes unfamiliar problems Select and apply a range of standard and non-standard processes relevant to the field of work or study 	<ul style="list-style-type: none"> Self-management of learning and performance under broad guidance Some responsibility for performance of others
5	<ul style="list-style-type: none"> Broad operational or technical and theoretical knowledge within a specific field of work or study 	<ul style="list-style-type: none"> Select and apply a range of solutions to familiar and sometimes unfamiliar problems Select and apply a range of standard and non-standard processes relevant to the field of work or study 	<ul style="list-style-type: none"> Complete self-management of learning and performance within defined contexts Some responsibility for the management of learning and performance of others
6	<ul style="list-style-type: none"> Specialised technical or theoretical knowledge with depth in a field of work or study 	<ul style="list-style-type: none"> Analyse and generate solutions to familiar and unfamiliar problems Select and apply a range of standard and non-standard processes relevant to the field of work or study 	<ul style="list-style-type: none"> Complete self-management of learning and performance within dynamic contexts Responsibility for leadership within dynamic contexts

Procedures & Principles

Part B: Awards and Statements of Achievement of Wintec

Number: AC-15/01

7	<ul style="list-style-type: none"> Specialised technical or theoretical knowledge with depth in one or more fields of work or study 	<ul style="list-style-type: none"> Analyse, generate solutions to unfamiliar and sometimes complex problems Select, adapt and apply a range of processes relevant to the field of work or study 	<ul style="list-style-type: none"> Advanced generic skills and/or specialist knowledge and skills in a professional context or field of study
8	<ul style="list-style-type: none"> Advanced technical and/or theoretical knowledge in a discipline or practice, involving a critical understanding of the underpinning key principles 	<ul style="list-style-type: none"> Analyse, generate solutions to complex and sometimes unpredictable problems Evaluate and apply a range of processes relevant to the field of work or study 	<ul style="list-style-type: none"> Developing identification with a profession and/or discipline through application of advanced generic skills and/or specialist knowledge and skills Some responsibility for integrity of profession or discipline
9	<ul style="list-style-type: none"> Highly specialised knowledge, some of which is at the forefront of knowledge, and a critical awareness of issues in a field of study or practice 	<ul style="list-style-type: none"> Develop and apply new skills and techniques to existing or emerging problems Mastery of the field of study or practice to an advanced level 	<ul style="list-style-type: none"> Independent application of highly specialised knowledge and skills within a discipline or professional practice Some responsibility for leadership within the profession or discipline
10	<ul style="list-style-type: none"> Knowledge at the most advanced frontier of a field of study or professional practice 	<ul style="list-style-type: none"> Critical reflection on existing knowledge or practice and the creation of new knowledge 	<ul style="list-style-type: none"> Sustained commitment to the professional integrity and to the development of new ideas or practices at the forefront of discipline or professional practice

SECTION AM11: POLICY ON GRADUATION PROTOCOL AND ACADEMIC REGALIA (AC-96/07)

The policy on Graduation Protocol and Academic Regalia Parts A and B (AC-96/07) has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Referred to in Section AR:4 - Assessment of the Academic Regulations.

Part A: Graduation Protocol and Academic Regalia
Number: AB8-96/07

Policy Owner: Director, Support and Marketing
Category: Academic
Authorised by AAC

Date Approved: February 2006
Date Last Revised: March 2014
Next Review Date: March 2017

Graduation Protocol and Academic Regalia

1. Purpose and Scope

- 1.1 Waikato Institute of Technology (Wintec) is committed to providing a graduation occasion to give ceremonial recognition to the achievements of its students for the formal conferment of a degree or award of a qualification, and offers high public visibility to the “town-gown” relationship. Graduation provides an occasion for family and whanau to celebrate the achievements of the graduands.
- 1.2 This policy applies to all students graduating from Wintec.

2. Policy Statement

- 2.1 Through this policy Wintec will:
 - a) Stipulate arrangements for graduation ceremonies
 - b) Specify which categories of awards will be presented during graduation
 - c) Prescribe the academic costume to be worn by graduands.
- 2.2 Wintec adheres to protocol based on the need to provide a level of ceremonial formality befitting recognition of the achievements of Wintec students, to rationalise the potential multiplicity of ceremonies and their current differing levels, and to maintain a balanced cost structure for the operations.
- 2.3 With the advent of degree programmes the Academic Board has resolved that Wintec should have a unique academic costume reflecting the academic tradition but bearing an element reflecting local tradition. This is seen as necessary to ensure that degrees of Wintec are recognised as having the same status as degrees conferred by universities. In making this move it was also resolved that academic costume should also be available to students receiving diplomas.

Procedures & Principles

Part B: Graduation Protocol and Academic Regalia

Number: AC-96/07

Policy Manager:	Director, Support and Marketing	Date Approved:	February 2006
Category:	Academic	Date Last Revised:	March 2014
Refined category:	Students	Next Review Date:	March 2017
Authorised by	AAC		

Graduation Protocol and Academic Regalia

1. Definitions

Graduand	A person who is about to receive an academic degree
Graduate	A person who has been awarded a degree

2. Graduation Protocol

2.1. Organisational Principles

- 2.1.1. Institutional graduation ceremonies should normally be arranged on a School or Centre - based grouping, together with a marae graduation for graduands of all Schools and Centres.
- 2.1.2. All awards (qualifications) bearing the seal of Wintec will be presented at the institutional graduation ceremonies. The following categories of awards will therefore be presented:
 - a) Certificates bearing the seal of Wintec
 - b) Diplomas
 - c) Degrees
 - d) Postgraduate qualifications
 - e) Qualifications that are jointly awarded as appropriate
- 2.1.3. Other unsealed awards may also be conferred at an institutional graduation ceremony at the discretion of the Academic Board.
- 2.1.4. Other awards not presented at the institutional graduation ceremonies (i.e., those which do not contain Wintec's seal) may be presented at a low-key event arranged as required within the School or Centre.
- 2.1.5. Further events to celebrate the completion of programmes which are undertaken at Wintec but which do not result in a Wintec award may be organised by a School or Centre.
- 2.1.6. Students should have the option of having their certificates posted. Students graduating in absentia at an institutional graduation ceremony will be posted their certificates after the graduation ceremony.
- 2.1.7. Following completion of a qualification, students will be invited to attend the next scheduled institutional graduation ceremony. In exceptional circumstances students may

Procedures & Principles

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request to defer attending a ceremony until the following year, but this must be approved under the Dean's Waiver.

2.2. Procedures

The following process will be set in place to ensure that the Council has formally approved the conferment of degrees and the award of diplomas and certificates for students attending the scheduled graduation ceremonies, or for students wishing to graduate in absentia at specified times other than these ceremonies.

2.2.1. The process of approval will be (on the assumption that the scheduled institutional graduation ceremonies will be held annually in March):

- a) A list of students who have completed the requirements for awards will be approved, under delegate authority from the Academic Board, forwarded by the School or Centre Programme Committee/s and forwarded to the Student Enrolment and Information Centre (SEIC) to record and process in the Student Management System. It is the responsibility of the Programme Committee to check a student has met the requirements set out in the programme regulations and the correct award is recorded in the completion list.
- b) SEIC will provide a list to the Academic Board of students who have been issued awards twice a year in April and October for information.

2.2.2. A Graduation Project Team will be appointed by the Business Manager Student Enrolment and Information Centre in September each year to manage the graduation events. The team will include representatives from SEIC, Communications, Marketing and a representative from one School or Centre.

2.2.3. Prizes and scholarships will normally be presented at special award ceremonies. Sponsors of such awards should be invited to attend and may be involved in the presentation.

2.2.4. Graduation dates should be set at least three years ahead so that the appropriate venues may be booked well in advance. SEIC will co-ordinate the dates with Waikato Graduate Women Charitable Trust, Academic Dress Hire regarding regalia availability and will provide these to Exec for approval.

2.2.5. The schedule of the graduation ceremonies and special award events for the subsequent year needs to be proposed by SEIC and approved by Exec by the end of June. This will ensure that Council members and staff receive early advice of the dates and these can be published on Wintec's website.

2.2.6. All graduands should be listed in an institutional graduation programme which will constitute the record of the awards presented. Awards will be listed consistently and in hierarchical order and will reflect the order of proceedings. Ceremonies will follow the same order as in the graduation programme.

2.2.7. Names of proposed guest speakers will be forwarded by the Dean to the CE through the Director, Communications by December.

Procedures & Principles

Part B: Graduation Protocol and Academic Regalia

Number: AC-96/07

2.2.8. Student speakers will be limited to one per ceremony. (If two Schools or Centres are involved in one ceremony, one could choose the guest speaker, another could choose the student speaker) this will be managed by the Director, Communications.

2.3. Standard Order of Proceedings

A standard order of proceedings will normally operate for institutional graduation ceremonies. Additions to the format to reflect special characteristics particularly identifiable with a School or Centre may be made as agreed by the Graduation Project Team.

2.4. Logistical Arrangements

2.4.1. Graduation arrangements will be managed by SEIC with support from within the Schools and Centres. These arrangements will be detailed in an annual graduation project plan approved by the Graduation Project Team.

2.4.2. A public procession of graduands and staff through the city should be held each full day of graduation to accommodate morning and afternoon ceremonies.

2.5. Invited Guests

2.5.1. A list of VIP guests to be invited to graduation ceremonies will be made available to the Director, Communications from the Chief Executive's (CE) office and from each of the Schools and Centres. The lists will include sponsors of prizes and scholarships. It is the responsibility of Director, Communications to invite VIPs to the graduation ceremonies and the special award events.

2.5.2. VIPs should be seated on stage, or when appropriate in the front rows of the auditorium. The guest speaker is part of the official party on the stage (the guest speaker may choose to wear regalia but is not expected to do so). The student speaker will sit with the graduands.

3. Academic Regalia – Principles

3.1. All graduands receiving a sealed award will be expected to wear academic regalia.

3.2. Wintec staff seated on the stage will be expected to wear academic regalia (Wintec budgets may be used to pay for the hire of regalia for employees.) Orders for regalia hire for staff and VIPs should be with Academic Dress Hire by the date agreed annually – this will be organised centrally by SEIC.

3.3. The academic costume of Wintec shall be as follows:

ACADEMIC COSTUME			
	Bachelors	Bachelors with Honours	Master
Gown	The gown is black and of traditional academic design		
Cap	Black tacher of traditional academic shape		
Hood	• Standard Wintec pattern made of black material, lined with Wintec blue.	• Standard Wintec pattern made of black material lined with Wintec blue.	• Standard Wintec pattern made of black material, lined with red material.

Procedures & Principles

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	<ul style="list-style-type: none">• V-shaped neckband is edged with light blue.	<ul style="list-style-type: none">• 50mm border in red.• V-shaped neckband is edged with light blue.	<ul style="list-style-type: none">• 50mm border of Wintec blue.• V-Shaped neckband of red material with 20mm edge of lighter and darker blue fabrics overlaid with an embroidered koru.
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3.3.1. The stole to be worn by graduates to diplomas is the standard Wintec pattern made of black material, lined with Wintec blue.

3.3.2. Graduates of postgraduate certificates and postgraduate diplomas will wear the academic regalia appropriate to their highest existing qualification. If a graduate of the postgraduate certificate or diploma does not hold another qualification the graduate may wear a Wintec stole, which is the standard pattern made of black material, lined with Wintec blue.

3.3.3. The academic costume worn by members of Wintec at designated public ceremonies of the Institute shall be the costume appropriate to their qualification or the corresponding costume of Wintec. Staff and students attending the institutional graduation ceremonies are encouraged to observe a standard of dress suitable to the occasion.

3.3.4. Graduates with awards bearing the seal of Wintec shall be entitled to wear the appropriate academic costume at formal occasions where the wearing of academic costume is appropriate.

3.3.5. Graduands of postgraduate certificates or postgraduate diplomas of Wintec may wear the gown and Wintec stole at the graduation ceremony.

3.3.6. Graduands of degrees of Wintec should wear the gown, trencher and Wintec hood at the graduation ceremony.

3.3.7. Graduands of diplomas bearing the seal of Wintec should wear the gown and Wintec stole at the graduation ceremony.

3.3.8. Graduands of certificates of Wintec should wear the gown at the graduation ceremony.

3.3.9. Graduands identifying as Māori may choose to wear attire appropriate to their cultural requirements over Wintec's academic costume.

4. Academic Regalia – Procedures

Wintec has entered into an arrangement with the Waikato Graduate Women Charitable Trust, trading as Academic Dress Hire. Stocks of academic costume purchased by Wintec are held by Academic Dress Hire. Academic Dress Hire has undertaken to supply academic costume to graduands for Wintec graduation ceremonies provided that the timing of ceremonies is decided in liaison with them. Responsibility for these arrangements rests with SEIC.

4.1. SEIC will liaise with Academic Dress Hire concerning the process to be used for the hireage of academic costume to graduands.

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Part B: Graduation Protocol and Academic Regalia

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- 4.2. Academic Dress Hire will hire out regalia to individual students only, not to Wintec Schools and Centres. Academic Dress Hire will also hire out regalia to Wintec staff as required.
- 4.3. In advance of each graduation ceremony SEIC will ensure graduands are provided with timely and current information relating to costume hire.
- 4.4. The conditions of hire are those specified by Academic Dress Hire.

5. Measurements of success

Graduation is successful and runs smoothly.

6. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Administrative arrangements (e.g. speakers, venue, catering)	12 months from date of last action	Destroy
Production of award certificates		
Transcript of guest speeches		
Graduation programme	10 years from date of last action	Retain as public archive

SECTION AM12: ACADEMIC MISCONDUCT

DEFINITIONS

Academic Misconduct	Inappropriate behaviour in a learning environment.
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Referred to in Section AR:4 - Assessment of the Academic Regulations and Section AR:6 – Academic Misconduct

AM12.1 Investigating Academic Misconduct

- a. Where a tutor or examiner has evidence of dishonest or improper practice such as cheating, copying and/or plagiarism, they will report to the Head of School/Centre Director who will decide if further investigation is warranted. If further investigation is warranted, the Head of School/Centre Director will authorise an investigation of the allegation.
- b. If further investigation is authorised the Head of School/Centre Director will inform the student in writing of the following:
 - i. That an allegation of misconduct has been made;
 - ii. That the Head of School/Centre Director has determined there are grounds for further investigation of the allegation;
 - iii. The timeframe for investigation;
 - iv. That once the investigation is complete the student will be notified in writing of the outcome in order to prepare a response;
 - v. That within 5 working days of the student being notified of the outcome, the student will meet with the Head of School/Centre Director to respond to the allegation following investigation.
- c. The Head of School/Centre Director may delegate the investigation, but not to the academic staff involved in the teaching or supervision of the module/s in which the misconduct is alleged to have taken place.
- d. When an investigation is undertaken the assessment grade/s for the student/s involved will be withheld or withdrawn until the matter has been resolved.
- e. On completion of the investigation, the Head of School/Centre Director will request a meeting with the student to hear the student's response and make a decision.
- f. The student will be advised in writing of the decision by the Head of School/Centre Director.

AM12.2 Penalties for Academic Misconduct

- a. The Head of School/Centre Director may:
 - i. Dismiss the allegation/s against the student/s conditionally or absolutely;
 - ii. Issue a written warning;

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- iii. Establish a learning contract that will require, and allow, the student/s to undertake an additional summative assessment in the subject area;
 - iv. Amend a mark or grade on an assessment/s and/or module/s;
 - v. Deny full or partial credits for any module/s;
 - vi. Suspend the student/s from any module/s or programme, or from Wintec, for a specified period;
 - vii. Recommend to the Office of the Dean that the student/s be excluded from the programme or module/s, or from Wintec.

AM12.3 Appeals to the Dean against an Academic Misconduct Decision

- a. The Head of School/Centre Director will report the misconduct allegation and decision outcome to the Dean's Office
- b. The student/s can appeal a decision made by the Head of School/Centre Director by sending a letter to the Office of the Dean within 15 working days of receiving that decision. The letter must clearly state the grounds for the appeal.
- c. When considering the appeal the Dean will review the procedures and processes followed by the Head of School/Centre Director to determine if due process was followed.
- d. The Dean may:
 - i. Uphold the appeal on the grounds that the School/Centre or business unit did not adequately follow the relevant policy, procedures or regulations when making their decision. In this instance the original complaint may be referred back to the Manager to reassess.
 - ii. Decline the appeal and confirm the original decision of the Manager.
- e. A letter of response will be sent to the student/s within 5 working days of the final deliberation, stating the decision and the evidence that led to it. The letter will note that if the student is not satisfied with this decision, they may appeal to the Chief Executive by lodging an application within 10 working days of receiving the response from the Dean.

AM12.4 Final Appeal to the Chief Executive

- a. The student/s can appeal a decision made by the Dean by sending a letter to the Chief Executive within 10 working days of receiving that decision. The letter must clearly state the grounds for the appeal, and have a copy attached of the Appeals Committee or Office of the Dean's decision.
- b. The Chief Executive will consider the appeal in terms of due process within the context of Wintec's policies and procedures, and respond to the student/s within 20 working days.
- c. The Chief Executive's decision is final. If the student/s is still not satisfied, they will be informed of their right to refer the matter to the Office of the Ombudsman or the New Zealand Qualifications Authority (NZQA).

SECTION AM13: CODE OF CONDUCT FOR STUDENTS, PEER TUTORS AND STUDENT MENTORS (AC-09/03)

The Code of Conduct for Students, Peer Tutors and Student Mentors AC-09/03 has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Code of Conduct for Students, Peer Tutors and Student Mentors

Number: AC-09/03

Policy Owner:	Dean	Date Approved:	January 2009
Category:	Academic	Date Last Revised:	August 2014
Refined category:	Students	Next Review Date:	August 2015
Authorised by	Chief Executive		

Code of Conduct for Students, Peer Tutors and Student Mentors

1. Purpose and Scope

Tertiary educational institutes are places where there is and should be debate and challenges of understandings and ideas, between and among students and staff members. That is the essence of the rights associated with academic freedom. However, with rights come responsibilities. Staff and students of Waikato Institute of Technology (Wintec) are expected to exercise their rights to academic freedom while maintaining the respect for others' views and beliefs that may differ from their own.

All organisations have rules and policies to guide their safe and effective operation. Wintec is no different. Accordingly, staff and students are expected to comply with those rules and policies.

The document "Code of Conduct for Students, Peer Tutors and Student Mentors" in which these matters are addressed is mirrored by a similar document describing the principles of conduct for members of Wintec staff. This is a tangible demonstration of the partnership of students and staff that is the essential hallmark of a mature educational institute.

This document describes the Code of Conduct for all Students (Section 2) and the Code of Conduct for Peer Tutors and Student Mentors (Section 3).

2. Code of Conduct for Students

a. Academic freedom

Under the Education Act 1989 students have the freedom within the law to question and test received wisdom, to put forward new ideas, to state controversial or unpopular opinions, and to engage in research. Wintec acknowledges that the principle of academic freedom is essential to the conduct of learning, research and scholarship. Academic freedom encourages students to engage in the responsible pursuit of knowledge and to provide informed and accurate commentary.

Academic freedom must be exercised in a manner that shows respect for the opinions of others, and recognises Wintec's statutory requirement to act in a manner that is consistent with:

- the need for the maintenance of the highest ethical standards and the need to permit public scrutiny to ensure the maintenance of these standards; and
- the need for accountability and the proper use of resources allocated.

b. Responsibilities of Wintec to its students

Wintec is committed to the development and delivery of quality tertiary education.

Wintec affirms that the Institute will be managed in a way that is consistent with the Mission Statement, strategic plans and policies, which includes:

- recognising the need to create a safe, caring environment that meets the needs of students.

- b) consulting students on issues and policies that may affect them.

In terms of the strategic directions of Wintec, Wintec is committed to:

- a) recognising the fundamental role emerging technologies will play in the teaching and learning in Wintec by developing and implementing appropriate information technology strategies;
- b) developing relationships with other national and international organisations which lead to more efficient and effective delivery of education; and
- c) maximising the fiscal and intellectual investment already made in response to the changing educational marketplace.

In terms of the Quality Management System (QMS) Wintec undertakes to meet students' expectations and needs by:

- a) providing quality programmes and courses;
- b) providing accessible appropriate and deliverable support services;
- c) providing a healthy, safe environment;
- d) providing a supportive and culturally safe environment;
- e) recognising the aims, aspirations and the cultural differences of ethnic or minority groups;
- f) ensuring the recognition of the requirements of persons with disabilities;
- g) ensuring the recognition of Tangata Whenua in accordance with the principles of the Treaty of Waitangi;
- h) recognising the aims and aspirations of the Māori people; and
- i) encouraging greater involvement of the Māori people in tertiary education.

c. Dealing with issues arising from this Code

There is an expectation that student issues will be raised in good faith.

- a) Wintec recognises the rights of students and will listen to issues and work to resolve them promptly in a fair and professional way, in accordance with established processes, statutes, policies and regulations and having regard to all relevant factors.
- b) Issues will be managed with the aim of achieving a positive outcome for all parties involved in such a way that the rights, responsibilities and obligations of students, staff and Wintec are maintained throughout.

d. The expectations of Wintec of its students

Principle One	Principle Two
Responsibilities of students	Respect for the Rights of Others
Following enrolment at Wintec, students are expected to:	All students are expected to respect the rights of fellow students, staff and the wider Wintec

	community. Accordingly students are expected to:
comply with all statutes, policies, regulations and procedures of Wintec;	refrain from all forms of discrimination, intimidation and harassment of fellow students, staff and the wider Wintec community;
exercise responsible and safe use of Wintec resources;	respect the privacy of individuals at all times;
accept the consequences of non-compliance with statutes, policies and regulations or misuse of resources.	in accordance with the Privacy Act 1993, ensure personal and confidential information is used only for the purposes for which it was intended;
	avoid behaviour which might cause disruption to the Wintec community.

e. Dealing with issues arising from the Code of Conduct for Students

Any issues arising from the Code of Conduct for Students should be resolved where possible by the individuals directly involved, or by seeking the assistance of appropriate staff including, but not limited to, the following:

- a) Student Experience Manager
- b) Counsellor
- c) Chaplain
- d) Kaumatua
- e) Tutor
- f) Programme Manager
- g) Head of School
- h) Dean
- i) Student Association Advocate or delegated representative
- j) Campus Security Officer
- k) Student Learning Services Manager
- l) OSH Manager
- m) Disability and Student Advocacy Co-ordinator

The process, in terms of which issues arising from the Code of Conduct for Students are dealt with, is shown in Appendix 1.

3. Code of Conduct for Peer Tutors and Student Mentors

All Peer Tutors and Student Mentors are required to sign a Code of Conduct.

a. Why do Peer Tutors and Student Mentors need to sign a Code of Conduct?

Peer Tutors and Student Mentors are acting in a role as a representative of Wintec which is outside of the normal student-student relationship. Peer Tutors and Student Mentors may be perceived to be in a position of influence and power, and as such need to exercise more than usual restraint during interactions with other students.

b. Principles

Peer Tutors and Student Mentors are required to follow these principles:

Principle 1: Professional behaviour when tutoring/mentoring students	<ul style="list-style-type: none"> • carry out duties in a professional manner, maintaining required standards of performance; • comply with all Wintec policies, procedures and practices; • fully inform the Peer Tutor or Student Mentor Co-ordinator of any relevant matters which may impinge on the performance of professional duties; • ensure the safe and responsible use of all Wintec resources; • demonstrate a commitment to improving the quality of service to students; • reflect at all times professional standards of presentation and demeanour; • act in a way which does not damage the reputation of Wintec.
Principle 2: Respect for the rights of others	<ul style="list-style-type: none"> • respect the rights of students and staff and refrain from all forms of discrimination, intimidation and harassment of students and staff; • treat students and staff with courtesy and respect; • avoid behaviour which might cause distress to, or disruption of students and staff.
Principle 3: Privacy	<ul style="list-style-type: none"> • respect the privacy of individuals at all times; • use confidential information only for the purposes for which it was intended, in line with the Privacy Act (1993); • keep student contact details private – don't share them with anyone else.
Principle 4: Ask for help if needed	<ul style="list-style-type: none"> • seek assistance from appropriate people including, but not limited to, the following: <ul style="list-style-type: none"> ○ Student Experience Manager ○ Student Learning Services Manager ○ Disability and Student Advocacy Co-ordinator ○ Tutor ○ Programme Manager ○ Student Association Advocate or delegated representative ○ Counsellor ○ Chaplain

c. Breach of Code of Conduct

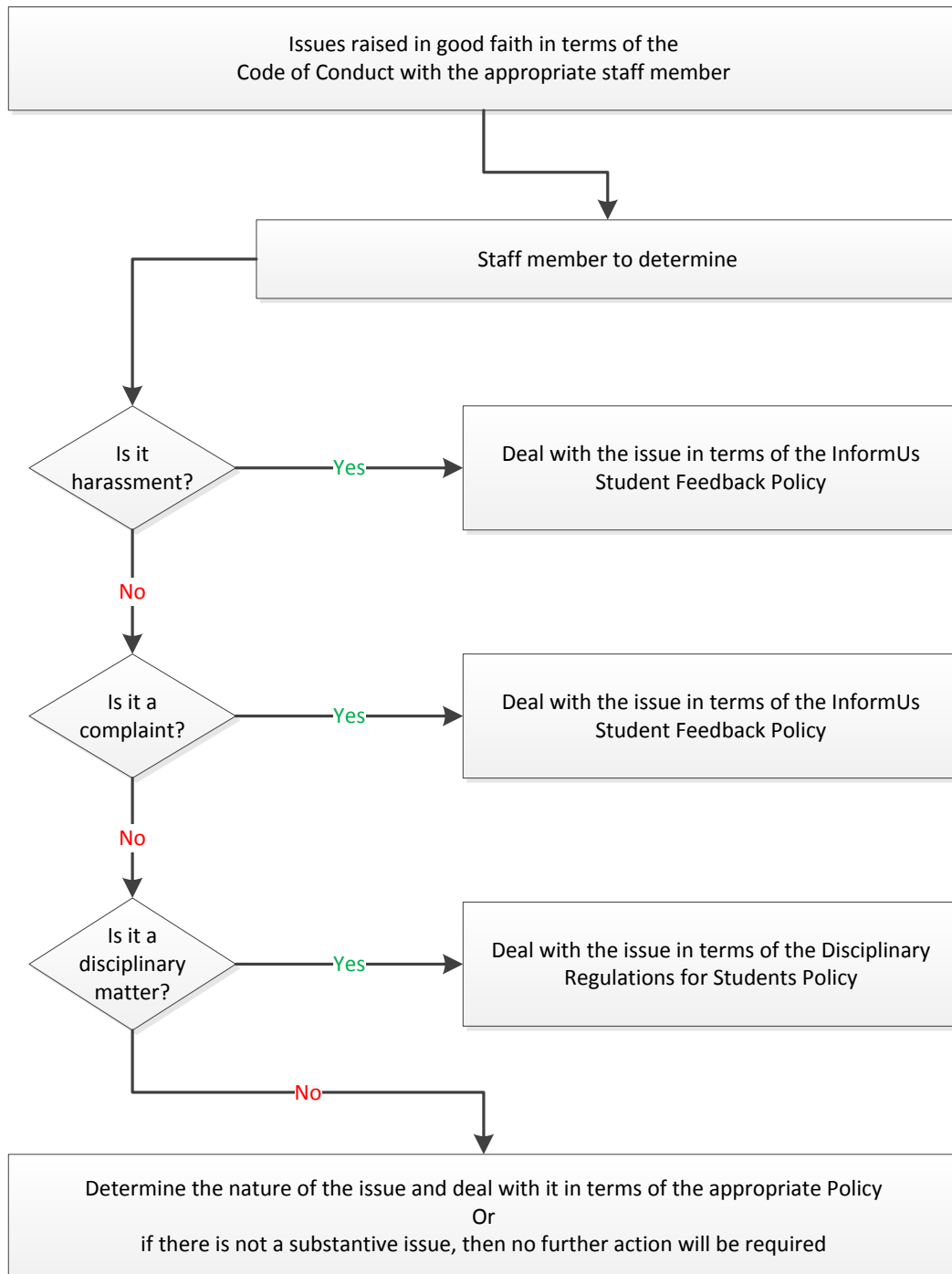
Breaches of this Code of Conduct will be dealt with according to the:

- a) Student Concerns, Complaints and Appeals Policy
- b) Discipline Regulations for Students
- c) Equal Education Opportunities (EEEdO) Policy
- d) Academic Misconduct (Section 6 of the Academic Regulations)

The Code of Conduct for Students, Peer Tutors and Student Mentors will be reviewed annually.

APPENDIX 1

DEALING WITH ISSUES ARISING FROM THE CODE OF CONDUCT FOR STUDENTS



SECTION AM14: DISCIPLINE REGULATIONS FOR STUDENTS (AC-02/04)

The Discipline Regulations for Students AC-02/04 has been included in this manual in its entirety. When referencing the policy please use the name and numbering of the policy.

Policy Owner:	Dean	Date Approved:	February 2002
Category:	Academic	Date Last Revised:	July 2014
Refined category:	Students	Next Review Date:	July 2015
Authorised by	Chief Executive		

Discipline Regulations for Students

1. Purpose and Scope

The Waikato Institute of Technology (Wintec) is committed to the support of a quality environment for education and training and to providing a safe and harmonious study environment. The responsibilities of the Institute to students, and its expectations from students, are described in the Code of Conduct for Students.

At the time of enrolment students are required to sign a declaration acknowledging that they are bound by the regulations of Wintec. The regulations are set down in Wintec's public website. These regulations are intended to support all relevant documents and other policies governing student behaviour and conduct.

As a member of the Wintec community a student has an obligation, which is shared by staff and other members of that community, to act towards others reasonably, courteously and with good faith. This obligation is described in more detail in the Code of Conduct for Students.

These regulations apply to the conduct of students:

- a) on any property or in any facility owned or managed by Wintec;
- b) on any field trip or other Wintec activity;
- c) in situations where the conduct is related directly to the student's status as a student of Wintec; and
- d) in situations when the student is acting in their capacity as a Wintec student.

This policy does not apply to the management of harassment complaints which are covered by the InformUs Student Feedback Policy.

2. Policy Statement

Through this policy Wintec provide a framework for investigating alleged breaches of Wintec regulations by students, and for applying penalties where breaches are substantiated. These Discipline Regulations comply with the provisions of sections 194, 197, 222 and 224, of the Education Act 1989; Wintec Delegation of Powers Statute 1995 as published in all relevant Wintec documentation.

Procedures & Principles

Part B: Discipline Regulations for Students
Number: AC-02/04

Policy Manager:	Quality & Academic Director	Date Approved:	February 2002
Category:	Academic	Date Last Revised:	July 2014
Refined category:	Students	Next Review Date:	July 2015
Authorised by	Chief Executive		

Discipline Regulations for Students

1. Definitions

Appeal	A formal request for a decision made in relation to alleged misconduct to be reviewed.
Complainant	The person/student who makes a formal or informal allegation of misconduct.
Informal Allegation	A complainant is unhappy with a situation, and makes personal representation to a member of staff seeking a resolution. No formal written allegation has been received, but the complainant is seeking a response.
Formal Allegation	A complainant is unhappy with a situation and submits a signed written statement detailing the allegation, seeking formal investigation and response.
Manager	Head of School, Centre Director, Support Services Manager or Business Unit Manager.
Support Person	Person/s (internal or external to Wintec) chosen by the complainant appellant or respondent to provide support or advice to the complainant or appellant.

2. Authority of staff for discipline in class

- 1.1. A staff member delivering or supervising a class may dismiss from it for its duration, any student who, in his or her judgment, has behaved in a manner that disrupts the class or jeopardises the health or safety of a student or another person.
- 1.2. In cases of ongoing disruption or discipline breaches, the staff member may lodge an allegation of misconduct under the provisions of these regulations.

3. Misconduct

- 3.1. Misconduct may occur if a student:
 - a) commits a serious breach of the obligation as outlined in the Purpose of the Discipline Regulations and the Code of Conduct for Students;
 - b) behaves in a manner that significantly impedes or subverts the proper functioning of the Institute in accordance with its educational purpose, values and goals as set down in the Institute's Calendar and all other relevant documentation;
 - c) behaves in a manner that discredits the Waikato Institute of Technology (Wintec);
 - d) breaches any regulation published on Wintec's website and all other relevant documentation;

- e) fails to comply with any reasonable and lawful policy or instruction approved and notified by the Chief Executive, Council, Academic Board, or delegated authority of the Chief Executive, Council or Academic Board;
- f) uses Wintec property, resources or funds for other than authorized purposes;
- g) incurs liability on behalf of the Wintec without authorization;
- h) behaves in a manner that is likely to unfairly harm the reputation or professional prospects of another student or member of the staff;
- i) behaves in a manner that jeopardizes the health or safety of another person or breaches any legislative requirements;
- j) encourages, assists, or procures a person to commit misconduct; or
- k) engages in any other form of misbehaviour.

This list is not intended to be exhaustive. Further, in some circumstances the nature of a student's conduct may be sufficiently grave to constitute serious misconduct, notwithstanding that the conduct is described as 'misconduct' in the list above.

- 3.2. If in the opinion of a Dean an alleged breach of Section 3 of these regulations is occurring, likely to occur, or will continue to occur, the Dean may suspend a student from attending Wintec for a period of fourteen (14) working days while an investigation is completed in accordance with these regulations.
- 3.3. Notice of the suspension may be given verbally to the student but must be confirmed in writing. The letter must include a review date and appointment time for a review of the suspension.

4. Procedures for making and investigating Allegations of Misconduct

4.1. Procedures for making an informal allegation

Any person who considers that a student may have breached any disciplinary regulation, may if that person wishes and subject to the Privacy Act 1993, first make an informal approach to one of the following staff members:

- a) Counsellor
- b) Chaplain
- c) Kaumatua
- d) Tutor
- e) Programme Manager
- f) Student Association Representative
- g) Campus Security Officer
- h) Student Experience Manager
- i) Disability and Student Advocacy Coordinator

- j) Head of School

This list is not intended to be exhaustive.

4.2. Responsibilities of the person to whom an informal approach is made

A person to whom an informal approach is made should:

- a) provide all reasonable assistance and support to the complainant;
- b) advise the complainant, on the evidence provided by him or her, whether a formal allegation of misconduct might appropriately be lodged, or if the allegation should be actioned under the InformUs Student Feedback Policy;
- c) offer to establish a mediation process in order to solve the problem with the aim of preventing re-occurrence; and
- d) advise the person who made the allegation about the appropriate procedures for lodging a formal allegation should the person who made the allegation choose to lodge one.

5. Procedures for making a formal allegation

5.1. Who can lodge a formal allegation

Any person may lodge a formal allegation against a student for an alleged breach of Disciplinary Regulations:

- a) Even if that person has not made an informal approach under Section 4.1; and
- b) regardless of the advice given under Section 4.2.

5.2. Procedure for lodging a formal allegation

A formal allegation must be made in writing and addressed to the Manager, i.e.:

- a) The Library Manager if it relates to the Library Regulations, or;
- b) The Manager Information Technology Services for breaches of the Computer Use Policy, or;
- c) In other cases other than a) or b), to the Dean.

5.3. Procedure for alleged misconduct

Roles		Responsibilities
Dean or Manager		On receipt of a written allegation of misconduct the Dean or the Manager shall: a) record the allegation in the relevant Faculty Office Student Discipline Register; b) appoint an independent Case Manager; and c) complete the action detailed in subsection 6 below. The Student Discipline Registers will be held and maintained in the Deans' office.
Case Manager	On appointment	The Case Manager will carry out a full investigation into the allegation. On being appointed, the Case Manager will advise the student in writing: a) that an allegation of misconduct has been made; b) the details of the allegation; c) the student's right to make written submissions in relation to the allegation within fifteen (15) working days of the date of the letter;

		<ul style="list-style-type: none"> d) the possible penalties that could be imposed if the allegation is substantiated; e) the right to meet with the Case Manager to respond to the allegations; and f) the right to have a support person present at any meeting.
	Process for an investigation	<p>Any investigation or enquiry will be completed in accordance with the principles of natural justice. These principles include but are not limited to:</p> <ul style="list-style-type: none"> a) an enquiry to be carried out in an open and unbiased manner; b) the result of the enquiry not to be predetermined; c) all parties to the enquiry to have an opportunity to explain and be listened to; d) all available information to be obtained; e) decisions to be fair and to be based on the evidence obtained; and f) the Case Manager to have no conflict of interest. <p>Within five (5) working days of receiving the allegation the Case Manager shall advise the complainant of the action taken to date. The complainant will receive updated written advice weekly thereafter.</p>
	Conclusion of the investigation or enquiry	<p>On completing the enquiry the Case Manager shall return the file to the Dean or the Library Manager or the Manager of Information Technology Services with a finding of “substantiated” or “unsubstantiated” and recommend a course of action from the following:</p> <ul style="list-style-type: none"> a) No further action as the allegation is trivial. b) No further action as the allegation is frivolous, vexatious, or not made in good faith. c) Issue a written reprimand containing a statement of possible penalties if the behaviour is repeated. d) Require the student to sign a good behaviour contract. <p>This list is not intended to be exhaustive. In addition if the finding is substantiated, the Case Manager may make a specific recommendation to the Dean of the Faculty on a course of action from the following:</p> <ul style="list-style-type: none"> a) The imposition of a penalty in accordance with and subject to the Wintec Delegation of Powers Statute 1995. b) Suspend the student from any class, course(s), or programme(s), for up to one year. c) Cancellation of enrolment or limit access to any part of Wintec for up to one year; d) A combination of the above. <p>Where a breach of the Computer Use Policy occurred, the Case Manager may recommend prohibition of computer use for the student for a period of up to seven (7) days.</p> <p>Where the Library Regulations are breached, the Case Manager may recommend the following course of action:</p> <ul style="list-style-type: none"> a) suspension of borrowing privileges for a period of time; b) the imposition of a penalty in accordance with and subject to the Wintec Delegation of Powers Statute 1995. c) preclude the person from accessing Library resources for up to seven (7) days; d) a combination of the above.

6. Disciplinary Action by Dean or Manager

- 6.1. On receipt of the findings of the Case Manager the Dean or Manager will advise the student in writing of the result of the enquiry and any follow-up action. The letter shall include reference to the right of appeal and the manner in which an appeal should be lodged.

6.2. When considering penalties, the Dean or Manager shall not be limited to the recommendation of the Case Manager but the Case Manager's recommendation will be taken into consideration. The Dean or Manager will record the reasons for any penalty.

6.3. The result of the allegation will be recorded in the relevant Student Discipline Register. The person who made the allegation will be advised in writing of the result of the investigation.

7. Authority of the Manager of Information Technology Services for breaches of the Computer Use Policy

7.1. Any student who has committed a breach of the Computer Use Policy, as specified in the Calendar may be excluded by the Manager of Information Technology Services from using a computer for a period of up to seven (7) days. The Dean is to be advised of any disciplinary action taken under this section and will record the details in the relevant Student Discipline Register. The Programme Manager of the course on which the student is enrolled is also to be advised immediately by the Manager of Information Technology Services.

7.2. In the event of serious or continued misconduct, the Manager of Information Technology Services shall inform the Dean who will follow the procedures described in these Regulations. The Manager of Information Technology Services may withdraw the student's computer access until the allegation has been investigated and resolved.

8. Authority of the Library Manager for breaches of the Library Policy

8.1. The Library Manager may carry out the following action in the event of breaches of the Library regulations (as advertised in the Calendar):

- a) Suspend borrowing privileges for a period of time.
- b) The imposition of a penalty in accordance with and subject to the Wintec of Powers Statute 1995.
- c) Preclude the person from using the Library for up to seven (7) days.

8.2. Penalties will be imposed only after the Library Manager has consulted with the student's Programme Manager, as any decision may affect the ability of the student to complete their course of study.

8.3. The Dean in which the student is enrolled is to be advised of any disciplinary action taken under this section and shall record the details of any breach of the regulations and any action taken in the Student Discipline Register.

8.4. Continued breaches of the Library Regulations may result in a formal allegation of misconduct to the Dean under these Disciplinary Regulations.

9. Authority to initiate an investigation

The Library Manager or the Manager of Information Technology Services or heads of schools or other managers may, on reasonable suspicion of possible misconduct, initiate an investigation into the conduct of a student. Any investigation is to be consistent with these regulations.

10. Withdrawal of allegation

10.1. If for any reason a student does not wish the allegation to proceed (that is, withdraws the allegation) the allegation shall be noted in the Student Discipline Register as withdrawn. The Head of School/Manager or other appropriate staff member will advise all parties to the allegation in writing. The Student Discipline Register file will be maintained. The documents

relevant to the allegation will be removed from the Student Discipline Register file at the discretion of the Dean/Group Manager, but not before the student has left Wintec.

- 10.2. If in relation to the allegation, a disciplinary process has been commenced under the Staff Disciplinary Procedures, withdrawal of the allegation will not necessarily mean discontinuation of the disciplinary process.

11. Appeals

- 11.1. A student may appeal to the next level of authority against any decision taken by:

- a) a staff member for discipline in class; or
- b) the Library Manager for breaches of the Library regulations; or
- c) the Manager of Information Technology Services for breaches of the Computer Use Policy; or
- d) the Dean for breaches of or in respect of these disciplinary regulations.

An appeal must be submitted to the next level of authority in writing, not more than ten (10) working days after the date of the relevant decision, and must include details of the grounds for the appeal.

The student and/or the person who made the decision may:

- a) appear at any appeal hearing and give evidence; and
- b) be accompanied by another person to act as an advisor or support person.

The next level of authority may:

- a) dismiss the appeal; or
- b) vary the decision; or
- c) require an appropriate remedy.

12. Student Discipline Register

- 12.1. A copy of all documents relating to each allegation will be kept in the relevant Student Discipline Register. The Student Discipline Register is confidential and access will be restricted to the person responsible for keeping the Student Discipline Register. Students who are the subject of an allegation, however, will have access to the documents relating to their particular allegation.
- 12.2. The Student Discipline Registers will be used to provide a summary report of allegations received and action taken to the Academic Board. The summary reports will be submitted every six months in the July and December each year.

13. Measurements of success

- 13.1. All students are made aware of the policy and procedures related to the Discipline Regulations for Students.
- 13.2. The investigation of alleged breaches of Wintec regulations is conducted in accordance with stated processes.

14. Records Management

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action
Case Manager Report	Depending on severity 7 years after date of last action, or 10 years after date of last action	Destroy
Investigation notes		
Letter of allegation(s) of misconduct		
Letter of suspension		
Student Discipline Register		
EDC1 Application to Enrol form	10 years after date of last action	Destroy

PROCESS: LODGING AN ALLEGATION IN TERMS OF THE DISCIPLINE REGULATIONS FOR STUDENTS

