



# CODE OF PRACTICE/CONDUCT, POLICY TRAINING AND AQTF COMMITMENT

Advance Profitplan promotes and adheres to the following “Code of Practice/Conduct, Policy” statement and expects all staff and trainers (engaged by the organisation) to believe in and comply with the following Codes: This code also applies to other Training Certification Bodies such as Exemplar Global and other Standards, codes, legislation relating to the delivery of training, development, education both formal and informal. Even though we ceased in June 2015 being a Registered Training Organisation and, all our training is delivered and assessed and complies with the National Training Requirements (AQTF) and Exemplar Global requirements.

## PART 1 - GENERAL

1. Agrees to operate in accordance with national principles for registration and mutual recognition. Advance Profitplan provides all training in accordance with VET legislation, Australian Standards and Australian Quality Training Framework (AQTF) and other standards required by other training certification bodies such as Exemplar Global
2. Carries out its business, including providing training services to clients with a clear understanding and acceptance of our obligations under the Commonwealth and State Legislative and regulatory requirements eg. Work Health & Safety, Equal Opportunity, Discrimination, Harassment, Privacy and Vocational Education Training and Employment and National Vocational, Education and Training Regulator
3. Committed to access and equity principles and processes in the provision of training services.
4. Committed to the principles and concepts of quality in all training services provided and activities undertaken.
5. Undertakes all marketing and advertising activities in accordance with accepted protocols.
6. Ensures all personnel providing training services carry the appropriate and required qualifications, experience, accreditations and industry currency.
7. All instructors accredited by or providing training on behalf of Advance Profitplan establish a positive learning environment by a variety of means in the following four key areas.
  - material content
  - method of presentation
  - atmosphere generally
  - physical environment.
8. Maintain a wholly professional attitude towards clients and shall provide prompt and courteous service at all times, be prepared to render emergency assistance whenever needed and keep clients informed of any problems or delays.



9. Shall be mindful of the trust placed in it by clients and shall conduct all business and personal relationships under the highest possible ethical and moral standards.
10. All staff shall treat the property of clients with the utmost care and respect and during the course of performing training services, shall take all necessary precautions to protect such property.
11. Undertake all activities (organisational and individual level) to ensure compliance with all applicable statutes, rules, regulations and by-laws, and shall obtain and maintain all necessary licences and permits, and shall not engage in any practice that violates these laws.
12. Acceptance of the need and the implications of confidentiality in relation to information provided by, or obtained from, our client organisation and course participants.
13. Acceptance by the organisation and individual staff of our responsibilities to acknowledge, investigate and action any situation resulting in complaints, grievances, appeals, accidents, injuries or harassment/bullying/intimidation/aggression.
14. All fees due, either collectively or individually, are payable on enrolment for the course and the fee structure prepaid fees and refund processes are clearly defined and understood by participants / clients. Maintaining fees paid in advance is a separate accounting process until the training has been provided that is associated with the fee
15. Engage Industry when developing Training Package Content, delivery, development and assessment gives them confidence so that the participant will graduate with the necessary knowledge, skills and understanding to be able to start applying in the workplace and can start building on this initial knowledge gained. Once developed we will use feedback from participants, their employer and industry stakeholders to improve and ensure this remains current and applicable. This includes engaging the services of an experienced and qualified person to validate the Assessments and meet the requirements of AQTF and associated National Training Packages.

## **PART B - SPECIFIC**

1. Advance Profitplan trainers / assessors are given the flexibility to adapt the appropriate learning strategies and to provide the training material in a fashion to meet the learning needs of diverse client groups and course participants.
2. All assessments are carried out in a fair and equitable manner and accommodate varying levels of literacy and numeracy skills.
3. All training undertaken by Advance Profitplan trainers has clearly defined outcomes, which are applicable to the industry to which participants, and organisations belong.
4. Qualifications and statements of attainment are issued in accordance with AQF and AQTF requirements and other National and International training provider certifiers such as Exemplar Global
5. All courses carry a form of assessment appropriate to the course undertaken and are conducted in such a way as to allow the trainer / assessor and the participants to clearly identify the requirements and what level of competency was achieved in a friendly and participative, and equitable environment.



6. All course participants have equal and unbiased access to an appeals process should they believe the course assessment or the result of the assessment was not appropriate or prevented them from achieving the outcome they expected. The appeal will be formally acknowledged and reviewed openly and in a professional and unbiased method.
7. All course participants have open access to a grievance process should they feel the course presentation, the conduct of the instructor or course facilities discriminated against them or did not generate the appropriate learning outcome to enable their successful completion of the course. All complaints or grievances will be formally acknowledged, reviewed openly and in a professional manner.
8. All participants are given timely feedback on their progress and achievement of competency.
9. All trainers / assessors are to complete all required documents and records (as required by our procedures and government requirements) are completed fully, accurately and truthfully and filed in accordance with our procedures.
10. All approved trainers will be informally and formally monitored, assessed to ensure they are providing professional training/assessment and are meeting the requirements of the National Training Package, AQTF and other Training Standards. All assessment for each Training Course delivered will be reviewed by our Principle Trainer/Assessor to ensure they have been assessed in accordance with the requirements and are assessed in a consistent manner.
11. When approving other organisations to deliver our Training they will have to use our documentation and material and each of their trainers/assessors will have to be formally approve and assessed to deliver each course initially and then on an annual basis thereafter

## **PART C – COMMITMENT TO AUSTRALIAN QUALITY TRAINING FRAMEWORK STANDARDS (AQTF) ESSENTIAL AND CONDITIONS OF REGULATION INCLUDING OTHER TRAINING CERTIFYING BODIES REQUIREMENTS**

Advance Profitplan and its staff and approved associates are committed to ensuring these standards are the minimum standard our business is to achieve and we expect our staff and Trainers/Assessors to achieve and apply these standards. Even though we are no longer a Registered Training Organisation, we are committed to providing and conducting our training in accordance with National Standards. We have rated our risk exposure for each standard from a business exposure level using a nationally recognised risk score calculator.



## ESSENTIAL STANDARDS:

- | <b>1. Providing Quality Training &amp; Assessments</b>  | <b><i>Risk Exposure Rating - High</i></b> |
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| <ul style="list-style-type: none"><li>• Appropriate procedures and controls are in place and all staff and approved associates are aware of the requirements for conducting or facilitating assessments in accordance with the endorsed components of the relevant accredited course in the area of recognition being sought by students.</li><li>• All assessments associated with all our courses (registered or not) are conducted in a fair, equitable and consistent manner, in accordance with the requirements of Australian Quality Training Framework Standards and all components of the course package, such as the National Unit of Competency Training Package.</li><li>• We are committed to ensuring our staff and trainers / assessors (including approved associates) are competent for the training, activities and responsibilities they undertake. Established procedures are in place for the induction, training and development of staff and trainer / assessor in accordance with Australian Standards and instructor accreditation requirements. We encourage further professional development of our staff and monitor and review their performance. This includes maintaining industry currency/experience.</li><li>• We are committed to applying this standard at the business level and at the individual Trainer/Assessor level. This applies not only to the needs of our clients and course participants, but in the method and pace of delivery of all our training courses.</li><li>• The required resources for assessment and issuance of qualifications are identified, readily available and maintained by our organisation to ensure the requirements of the relevant accredited course(s). Trainers / assessors are responsible for ensuring they have the nominated resources for any course they are providing and for ensuring they are maintained in a safe condition.</li><li>• We are committed to procuring, maintaining and accrediting the necessary resources to achieve our business and training objectives in the area of the delivery, assessment and issuance of qualifications. Each trainer / assessor is empowered and expected to identify and maintain the necessary resources to ensure the accredited and non-accredited course outcomes are achieved.</li><li>• Each course we offer has a defined “Learning and assessment Strategy (L&amp;A) which is directly mapped to the National Training Package (AQF or other Training certify/accrediting body individual “units of Competency” training package requirements (including scope, evidence, assessment) making up the formal qualification. These are regularly reviewed and updated (where necessary) based on feedback from trainer/Assessors, participants, clients/industry, changes to the National Training package or legislation.</li><li>• We are committed to not only providing/delivering the theory but also ensuring the participants understand the underlying intent/principles and how it applies to the work place. We are also committed to ensuring they are given practical hands on experience. The training and assessment will not only give us, the Trainer/Assessor, the evidence required to demonstrate competency but also enable each participant to confirm in their own mind their level on competency and what they will need to do to expand this knowledge and skills to develop their experience.</li></ul> |   |



## **2. Adhering to Principles of Access & Equity and Maximises Outcomes for It's Client**

*Risk Exposure Rating - Low*

- We are committed to and apply access and equity principles and processes in each aspect of our business. We make our staff and Instructors fully aware of their obligations and expect them to implement access and equity principles and processes.
- Established systems and checks are in place to ensure staff and Trainers / Assessors provide appropriate and current information, advice and support to assist clients and students to identify and achieve their desired objectives. This includes information on appeals, complaints, grievance processes and fees

## **3. Management Systems Are responsive to Needs of Clients, Staff, Stakeholders & Environment**

*Risk Exposure Rating - Medium*

- We are committed to operating a Management System to assist in the planning and provision of quality training and assessment services. Our staff and instructors understand their obligations and are committed to integrating our policies and procedures into all activities. We have integrated governance (AS8000), compliance (ASISO 19600), risk management (AS/NZS ISO 3100), Assurance (HB 158) and continuous improvement into our system and day-to-day activities. We are committed to resolving issues in an equitable and amicable manner.
- We operate under a first party certified system for Quality (ISO9001), Environmental (ISO 14001) and safety (AS/NZS 4801) that is capable of gaining third party certification;
- We have integrated the three Quality Indicators- Employer & Learner satisfaction & Competency Completion rate into our management system and use these and other indicators to improve our system and respond to Stakeholder needs or changing environment.
- We are committed to operating a Management System that enables staff and Instructors to compile and maintain the required records to fulfil our obligations under legislation, quality and Australian Quality Training Framework Standards to improve the services offered by our business, our staff and Instructors
- We are committed to ensuring our courses establish solid foundations equipping participants to be able to apply what they have learnt and that they clearly understand the underlying concepts/principles/skills. The courses offered are designed to be flexible to enable it to be modified to meet client needs (especially if being conducted in house) and the participants needs. The assessment process is a combination of theory and practical application. Information packs form an integral part of the enrolment process and the participants are regularly briefed/informed both collectively and individually on progress and what is next to be covered. A course program work book is given to each participant so that they can forward plan and prepare for each stage of the course/training/assessment.
- We are committed to maintaining a VET accredited student information and data record program that interfaces with the National Training Authorities Data Base AVETMISS.
- We are committed to ensuring any participant enrolling to undertake a Nationally approved course have the required "Unique Student Identifier" (USI) on enrolment. We will also assist them in obtaining this and we will verify the USI for each participant on enrolment into our courses.



## CONDITIONS OF REGISTRATION

### **1. Governance** *Risk Exposure Rating - Medium*

- The Principle/owner fully understands and is committed to building the requirements of the AQTF essential standards, Conditions of Registration, and National guidelines into our formal business management system and ensuring we continue to comply to the requirements. This is achieved through a program of audits and involvement of staff to ensure their understanding and application of the requirements in every thing they do in delivering our services as related to our training delivered. This includes ensuring the principal and staff and associates are familiar with and apply the latest version of the AQTF and other National Training Bodies requirements that give Advance Profitplan Certified Training Provider status.
- As part of our Governance we have clearly defined responsibilities/authorities/accountabilities for all staff including the owner/principal and approved associates.

### **2. Interaction With The Registering Body** *Risk Exposure Rating - medium*

- The Principal/Owner is committed to cooperating with all our stakeholders including any of our Certification/Accreditation Bodies in the conduct of audits and monitoring activities, providing accurate and timely data in relation to our performance, providing information about significant changes to our operation and viability and in the retention, archiving, retrieval and transfer of records consistent with our registering body requirements. To achieve this we have integrated these requirements into our Formal business management system and all key staff are fully aware of these requirements.

### **3. Legislative Requirements** *Risk Exposure Rating - Medium*

- We accept and acknowledge our obligations and those of our staff to conduct our business and services in accordance with required Australian and Industry standards and Government legislative and regulatory requirements. We will take whatever practical steps necessary to enable our staff and Instructors to fulfil their obligations.
- We are also committed to ensuring all measures are taken to provide adequate protection for our business, staff and clients.

### **4. Insurance** *Risk Exposure Rating - High*

- Effective insurance cover is an integral component of our Compliance/Risk/Business Continuity management systems and forms part of an assurance /review program each year. The required Insurances are held and maintained.

### **5. Financial Management** *Risk Exposure Rating - High*

- We are committed to implementing effective financial management procedures, incorporating the certification of accounts in accordance with Australian Quality Training Framework Standards. This includes procedures for fees paid in advance and fair refund policies



- We only offer a limited number of specialist course and only obtain a deposit to confirm enrolment. More than 90% of our participants have their fees paid by their employer. Our courses are of less than six months duration (most being only one to two weeks) and our deposits are below \$1,000.00

## **6. Certification & Issuing Qualifications and Statements of Attainment**

*Risk Exposure Rating - Medium*

- The required procedures are in place, appropriate training and guidance given to staff and trainer / assessors and monitoring in place to ensure qualifications and Statements of Attainment are approved, issued and registered in accordance with the relevant accredited or endorsed courses and the AQT framework
- We have a system of archiving which enables us to retain the required learner's records of attainment for the required period of time.

## **7. Accuracy & Integrity of Marketing**

*Risk Exposure Rating - Low*

- We are committed to and ensure all marketing undertaken by our Business and internal marketing undertaken by our staff and Instructors meets all protocols required under Australian Quality Training Framework Standards and other associated legislation, including that its is ethical, accurate and consistent with our scope of registration
- We are committed to ensuring the use of National and other Logos is in accordance with Australian Quality Training Framework guidelines and complies with the Nationally Recognised Training Logo Specifications.
- *We are committed to using logos associated with other Training certification/accreditation bodies in accordance with their requirements/conditions*

## **8. Transition to Training Packages/Expiry of Accredited Courses**

*Risk Exposure Rating – Medium*

- We are committed to ensuring any superseded Training Package is transferred to the new package within twelve (12) months form the date of publication on the National Training Information Services Website. This commitment applies equally to any accredited course. This is to ensure that we only deliver the current approved course.
- If we have any participant who is still completing the superseded course we will advice them of the transition and apply to “teach out” under the superseded course as part of the transition

## **9. National Quality Indicators/Internal Indicators**

*Risk Exposure Rating – Medium*

- Beside the required National Quality Indicators we gather our own indicators and conduct our own performance appraisals to ensure we remain current, meet needs and graduate qualified/confident individuals that can readily apply what they have learned when they return to their workplaces
- We maintain our own data base and a data base that meets the National requirements on participants and qualifications started/completed



**10. Interaction With Stakeholders Including registering/accrediting/certifying Bodies**  
*Risk Exposure Rating – Medium*

- We subscribe to electronic news releases from various bodies that enable us to keep up to date and informed with changes to Training Packages/registration etc. Our system defines our process for anticipating changes so that we can upgrade our registration, courses to meet any required changes. These are formally notified to the appropriate bodies so that we remain compliant with registration/certification etc. This includes notifying and changes to our structure/key personnel etc and any potential adverse situation that may impact our registration/certification, viability etc.

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GRAHAM CADDIES  
PRINCIPAL CONSULTANT / TRAINER / AUDITOR

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Date