



## Code of Practice

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# Leadership Management Australia

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## DOCUMENT CONTROL SHEET

### ***Revision History***

<b>Version</b>	<b>Date</b>	<b>Author</b>	<b>Description</b>
1.0	19/9/2005	Shane Lee	New document
2.0	17/7/2008	Shane Lee/ Jan Crittenden	Updated for AQTF 2007 requirements, reformatted.
3.0	18/7/08	Jan Crittenden	Added Access & Equity for personal records & reformatting, Version Control.
4.0	6/05/2010	Jenny Ward	Updated information regarding RPL/RCC and Credit Transfer , fees and plagiarism policy. Table of Contents added

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## **Introduction**

As a Registered Training Organisation (RTO), Leadership Management Australia (LMA) has agreed to operate within the principles and standards of the Australian Quality Training Framework (AQTF). This includes a commitment to recognise the training qualifications issued by other Registered Training Organisations.

This Code of Practice provides the basis for best practice in the marketing, operation, financing and administration of education and training services by LMA, under the auspices of The Office of Training & Tertiary Education.

For the purposes of this Code “Participant” refers to any person participating in training delivered by this organisation. A “Client” is a person or organisation who may enter into a contract with this organisation for the delivery of training and/or services.

## **Admission Process**

Recruitment of Participants will be conducted at all times in an ethical and responsible manner that is consistent with the principles of social justice.

Recruitment of Participants will comply with equal opportunity legislation and all other relevant legislation.

Potential Participants will be given a clear indication of the existing skills and knowledge required to achieve the stated outcomes.

Participants will be enrolled in training courses on a first-come-first-serve basis.

## **Course Information**

LMA will set out detailed, relevant and precise information to Participants relating to their course content, including all course competencies, vocational outcomes, fees and hours. A detailed procedure for RPL/RCC Recognition and Credit Transfer is available to all Participants on request and information regarding the Recognition process is available for download on the LMA website.

## **Recruitment and Induction**

LMA will conduct recruitment of Participants in a moral and accountable manner and in line with Equal Opportunity Legislation. Participant assessment will be based on the competency standards for entry into each course, given the applicants’ qualifications, ambitions and proficiencies. All Participants will be given a copy of this Code of Practice or may download a copy from our website – [www.lma.biz](http://www.lma.biz)

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Prior to the commencement of any training course conducted by LMA, an Overview session is held for Participants. The purpose of the Overview session is to ensure that all training and assessment information is provided prior to the commencement of the course.

Participants will receive the following materials and/or information in this Overview session:

- Course Resource Materials
- Course Timetable
- Information on Literacy, Numeracy and Special Needs and Support Services
- Information on Recognition of Current Competency (RCC)/Recognition of Prior Learning (RPL) and Credit Transfer
- Complaints and Appeals Procedure
- Fees and Refunds Procedure
- Participants' responsibilities in relation to training and assessment
- LMA's responsibilities in relation to training and assessment
- Information on relevant legislation
- The credential to be issued to the Participant on completion or partial completion of the course
- Details of facilities and equipment

All information will be regularly reviewed to ensure its accuracy and relevance.

## **Marketing and Advertising**

LMA markets its vocational education and training products with integrity, accuracy and professionalism, avoiding vague and ambiguous statements. In the provision of information, no false or misleading comparisons are drawn with any other training organisation or training product.

Marketing and advertising materials will not include any reference to clients or Participants without their prior written permission.

Marketing and advertising materials will conform to the standards required of Registered Training Organisations, particularly:

- clearly identify which courses are nationally recognised within the scope of our registration
- advertise only those AQF qualifications or Short Course competencies we are registered to issue
- comply with the names and titles of courses as endorsed or recognised by the relevant bodies
- provide clear course information, including actual content and vocational outcomes

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## Strategies for Flexible Training Delivery and Assessment (including re-assessment)

LMA has developed learning and assessment strategies for each Training Package qualification and accredited course on our scope of registration that clearly identifies proposed target groups, learning and assessment methods, re-assessment, assessment validation processes and pathways.

LMA has personnel with appropriate qualifications and experience to deliver the training and facilitate the assessment relevant to the training products offered. Assessment will meet the National Assessment Principles (including Recognition for Prior Learning and Credit Transfer). First rate facilities, equipment and training materials will be utilised to ensure the learning environment is conducive to the success of Participants.

- Facilitators will be skilled in vocational training techniques and have a thorough knowledge of topics being delivered
- LMA will ensure that assessments are conducted by a person who has the following competencies from the Training Package for Assessment and Workplace Training, or can demonstrate equivalent competencies:
  - BSZ401A Plan assessment
  - BSZ402A Conduct assessment
  - BSZ403A Review assessment
  - TAAASS401A Plan & organise assessment
  - TAAASS402A Assess competence
  - TAAASS404A Participate in validation
- LMA incorporates adult learning principles throughout the delivery of its training courses. Participants are encouraged to take responsibility for their own learning and to actively participate in the learning and assessment process
- Delivery methods and assessments will incorporate a variety of methods to ensure a participatory and stimulating training environment. Assessment tools are closely linked to both the training course and workplace requirements
- All training notes will be written in plain English. Notes will be in a format that encourages Participants to take notes and modify techniques to their specific situation
- The health and safety of Participants will be the primary consideration when selecting venues
- Training will be designed to meet the identified needs of Participants
- All personal information gained through questionnaires, activities and general discussion will remain confidential unless permission to disclose this information is granted by the Participants

LMA will offer all Participants the opportunity to apply for Recognition of Prior Learning and Recognition of Current Competency (RPL/RCC).

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## Deferment of Training

There is a six (6) month deferment time-line for the period between when the Participant defers and when they may re-commence their course, for the Participant to be able to carry through credits for the work they have completed. The Participant must complete a "Participant Deferment/Transfer Application Form" and pay the appropriate Deferment/Transfer Fee (refer Deferment/Transfer Fees document). If the period is beyond 6 months they will be re-enrolled as a new Participant and will be required to re-do the course work. This will attract an additional standard facilitation fee. In the case where a Participant is no longer employed by the employer, so does not request a deferment, LMA will issue a Statement of Attainment for the units of competency completed. There is no cost to Participants for issuing statements of attainment, provided all course fees have been paid.

## Assessment will meet the National Assessment Principles

- Assessments undertaken will be consistent with National Assessment Principles
- LMA will provide valid and reliable assessments of achievements against industry competency standards or units of competency from accredited courses within the scope of our registration
- LMA will offer a variety of assessment options appropriate to the qualification outcome

LMA offers Participants the opportunity to gain credit for existing competencies through the process of Recognition of Prior Learning (RPL), Recognition of Current Competence (RCC) and Credit Transfer within the scope of our registration. Recognition will be conducted in accordance with the Recognition of Prior Learning (Skills Recognition) document - an assessment resource for VET practitioners and the National Assessment Principles. For information on RPL/RCC fees and how to apply for RPL/RCC, please refer to the [LMA RPL/RCC \(Recognition\) Evidence Guide for Participants](#).

## Credit Transfer arrangements

Credit Transfer is an arrangement to give a standard level of credit or formal recognition to a student who has previously achieved competence in a training or educational environment. Some Credit Transfer arrangements are also called Advanced Standing or Exemptions.

Credit transfer assesses the initial course or subject that the individual is using to claim access to, or the award of credit in, the destination course to determine the extent to which it is equivalent to the required learning outcomes, competency outcomes, or standards in a qualification. This may include credit transfer based on formal learning that is outside the AQF framework. LMA has provision in place for Credit Transfer applications. To apply for credit transfer, please contact your LMA Facilitator. Licensee or Course Coach or refer to the [LMA Credit Transfer Procedure](#).

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## Assessment Appeals

Appeals are deemed to be dissatisfaction with the procedures, quality or outcomes of the assessment process. An appeal is deemed to be formal when it is made in writing to LMA.

- (i) each appeal and its outcome, is recorded in writing.
- (ii) each appeal is heard by an independent person or panel.
- (iii) each appellant has an opportunity to formally present his or her case
- (iv) a re-assessment will be carried out, if necessary
- (v) each appellant is given a written statement of the appeal's outcomes, including reasons for the decision.

If the Participant is not satisfied with the appeal process, LMA will refer the matter to a mutually agreed, impartial, accredited assessor for re-evaluation.

## Recognition of qualifications issued by other RTOs

LMA recognises the AQF qualifications and Statements of Attainment issued by any other RTO and had an effective credit transfer procedure in place.

The Participant shall provide original documentation to the LMA Facilitator who will verify the authenticity of the Qualification or Statement of Attainment. A copy of the Qualification or Statement of Attainment will be retained by LMA and placed in the Participant's file. The credit transfer will be recorded via LMA's Evidence Report FAST TRACK Form and the Participant shall be given credit for all of the direct correlation of units of competencies or for the full Qualification. Where there is no direct correlation, the process of RPL/RCC Recognition shall be conducted.

## Learning Environment & Access and Equity

LMA prides itself on creating a '*unique learning experience*' for all of its Participants. We incorporate the principles of Adult Learning in all of our delivery to encourage active participation in all of our programs. LMA's unique Feedback Online (FBOL) system ensures that all of the Learning Partners - Participant, Manager/Mentor, LMA Course Coach and LMA Facilitator, communicate and work synergistically to ensure the success of the Participant.

LMA is committed to providing a learning environment which is free from discrimination and harassment and abides by the the principles of access and equity. LMA will ensure its training and assessment courses are relevant, fair and inclusive by promoting our courses to the community in a manner that includes and reflects the diverse client population, to ensure that all prospective clients such as indigenous peoples, people from culturally and linguistically diverse backgrounds, people with disabilities, clients in remote locations and youth are well informed on the options available to meet their individual training needs. Provision for language, literacy and numeracy assistance is available on request.

LMA will comply with all laws relevant to occupational health and safety and fire safety regulations and ensure that the training premises are of a proper size and have appropriate heating, cooling, lighting and ventilation. To also ensure that training facilities, equipment and

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resource materials are acceptable for the courses being delivered and are maintained in good order.

It is a requirement of the Australian Qualifications Framework administered by the Victorian Government who is the registering authority, that participants can access their personal information held by LMA college. The requirements of the registering authority may require the release of participants' personal information for the purposes of audit.

Participants may request corrections to information that is incorrect or out of date. This information can be updated by lodging a request with the LMA Learning & Delivery Quality Manager.

## **Participant Complaints and Appeals**

LMA has in place a process and procedure for fair and equitable settlement of actual or perceived Participant complaints. If a settlement cannot be agreed upon between the two parties, Participants will be referred to the appropriate professional or government department.

- LMA recognises the right of a Participant to lodge a complaint
- If a Participant wishes to lodge a complaint against any staff member, the Participant, or their chosen representative should make a formal or informal approach, to the Managing Director (MD)
- If the complaint involves the Facilitator, the approach needs to be made to the Facilitation/Coaching Co-ordinator
- If the complaint is lodged informally, the Facilitation/Coaching Co-ordinator will immediately clarify the matter in writing and forward a copy to the Participant and any chosen representative for confirmation
- Any complaint and the process of its resolution will remain confidential between the parties involved
- Facilitators or staff members of LMA, against whom a complaint is lodged, have the right to view the written complaint and access any evidence provided by the Participant. The staff member or Facilitator is entitled to present a defence against the complaint and may nominate a chosen representative to act on their behalf
- The Facilitation/Coaching Co-ordinator will make every effort to resolve the complaint internally between the parties involved
- If the complaint cannot be resolved internally, an independent Facilitator will be approached immediately to act as an impartial arbitrator
- The Participant will be consulted about the selection of the independent arbitrator
- Both the Participant and the Facilitator or staff member may nominate a chosen representative to act on their behalf in any subsequent discussions or arbitration.

## **Disciplinary Procedures**

If a Participant's action at training creates or increases a health and safety risk to themselves or others, fails to perform activities/tasks in accordance with the training program and instructions of Facilitators or acts in a wilfully negligent way the disciplinary procedure shall be used.

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- LMA reserves the right to discipline a Participant where appropriate
  - If a Facilitator wishes to discipline a Participant, he/she should make a formal or informal approach, to the Facilitation/Coaching Co-ordinator
  - If the discipline notice (written notice) is lodged informally, the Facilitation/Coaching Co-ordinator will immediately clarify the matter in writing and forward a copy to the Participant and any chosen representative for confirmation
  - Any discipline procedure and the process of its resolution will remain confidential between the parties involved
  - The Participant is entitled to present a defence against the notice and may nominate a chosen representative to act on their behalf
  - The Facilitation/Coaching Co-ordinator will make every effort to resolve the disciplinary action internally between the parties involved
  - If the action cannot be resolved internally, an independent person will be approached immediately to act as an impartial arbitrator
  - The Participant will be consulted about the selection of the independent arbitrator
  - Both the Participant and the Facilitator may nominate a chosen representative to act on their behalf in any subsequent discussions or arbitration
  - The outcome of any discipline procedure will result in one of the following:
    - The Participant may be taken out of group training for one on one sessions
    - The Participant may choose not to continue with the course
    - The Employer may choose to withdraw the Participant from the training course

*The Managing Director may also be called upon to discuss the issue and corrective action on an informal basis where the issue is not of a serious nature.*

Please also refer to the LMA Assessment Policy for information on disciplinary procedures that apply to assessment misconduct, including plagiarism and collusion.

## **Fees & Charges**

LMA will ensure that all costs involved with its training services is provided to Clients and Participants prior to the commencement of any training and/or assessment services. All LMA course fees and assessment services are clearly described on our website and in all course brochures and advertising materials.

## **Refund Policy**

Should LMA cancel or postpone any course, Participants are able to re-enrol into the next available course as a refund in this instance does not apply. Where the client, in consultation with LMA, pays a deposit of 10 - 50% and the potential Participant(s) cannot attend, the client will replace the Participant(s) with another one, or re-enrol the original applicant(s) into a future course, as a refund in this instance also does not apply. Any monies received are placed in a separate account and are not accessed until the course commences.

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On the following terms and conditions the enrolment fees for new Clients will be refunded in full, if at the conclusion of the Mid-Term Review Meeting, they are not satisfied with the results received

- The Client enrolls a minimum of two (2) and a maximum of four (4) Participants into the *The Performance Edge* course
- The enrolment fees are paid prior to commencement of the course
- The Participants and their Manager/Mentor attend the Overview Meeting on the actual course commencement date
- The Participants actively take part in the workshops and complete the activities and Feedback Online requirements
- The Manager/Mentor supports the Participants as requested through the use of the Feedback Online system and meets with Participants after each module to review the content, relevance and application to their work environment.

## **Legislative Requirements**

LMA will meet all legislative requirements of State and Federal Government. In particular, Workplace Health and Safety, Workplace Relations and Vocational Placement Standards will be met at all times.

We will ensure that Workplace Harassment, Victimization and Equal Employment Opportunity information is available to Participants and staff members alike

- Occupational Health and Safety
- Workplace harassment, victimisation and bullying
- Anti-discrimination, including equal opportunity, racial vilification, disability discrimination
- Privacy Legislation
- Anti-Bullying and Harassment Policy
- Access and Equity

The following site contains the up to date versions of Victorian Legislation:  
<http://www.dms.dpc.vic.gov.au/>. You may wish to consult this site for further information.

## **Issuance of Qualifications and/or Statements of Attainment**

LMA issues qualifications and Statements of Attainment to Participants who meet the required outcomes of a qualification or unit of competency, in accordance with the AQF Implementation Handbook. LMA will issue AQF qualifications and statements of attainment that comply with AQTF requirements and training packages and that are within the scope of our registration.

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LMA issues the Qualification or Statement of Attainment to the Participant at a Graduation Ceremony at the completion of training. A copy of the Qualification or Statement of Attainment is placed in the Participants file.

The cost of issuing your qualification or statement of attainment is included in your overall course costs and it will be provided to you at the completion of your course. If you withdraw, cancel or transfer from the course before you complete your course or assessment work for particular units of competency, we will issue you with a statement of attainment for those units of competency that you have successfully completed all assessment work for. There is no additional cost for this, provided all course fees have been paid in full.

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## Quality Management Focus

LMA has a commitment to providing a quality service and a focus on continuous improvement. We value feedback from Participants, staff and employers for incorporation into future courses. LMA will conduct monthly, quarterly and yearly internal audits and will collect and analyse feedback. Staff and succession planning is also key to our continuous improvement process and strategy. Ongoing professional development of Facilitators, Course Coaches and Mentors will also form part of LMA's continuous improvement policy. *Refer AQTF Quality Manual.*

## Client Service & Participant Welfare

We have sound management practices to ensure effective client service. In particular, we have client service standards to ensure timely issue of Participant assessment results and qualifications. These will be appropriate to competence achieved and issued in accordance with national guidelines. Our quality focus includes a Recognition Policy, a fair and equitable Refund Policy, a Complaints and Appeals Policy, an Access and Equity Policy and Participant welfare and guidance services. Where necessary, arrangements will be made for those Participants requiring literacy and/or numeracy support programs. We will take every opportunity to ensure that this information is disseminated, understood and valued by personnel, clients and Participants.

Our Participant information will ensure that all fees and charges are known before enrolment, that course content and assessment procedures are explained and that vocational outcomes are outlined.

## Record Keeping

LMA keeps complete and accurate records of the attendance and progress of Participants, as well as financial records that reflect all payments and charges and the balance due, and provides copies of these records to Clients on request. Clients wishing to obtain a copy of their records must do so in writing together with proof of identity. The LMA Support Centre will process your request within ten (10) working days. LMA documents and implements procedures to assure the integrity, accuracy and currency of records at all times. We ensure all records are stored securely (including backup of) and our systems allow for effective retention, archiving and retrieval of sufficient information on Participants at all times. We have systems in place for the following:

- safe backup of records and the record keeping system, (FBOL, enrolments, Participant attendance, assessment records and tools, Qualifications/Statements of Attainment issued, RPL/RCC and or Credit Transfer applications, complaints and appeals records etc.)
- the retention, archiving, retrieval and transfer of all other records consistent with contractual and legal requirements and the requirements of the state or territory registering body

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- safeguarding any confidential information obtained by LMA and committees, individuals or organisations acting on our behalf
  - ensuring information about a Participant is not disclosed to a third party without the written consent of the Participant and they have access to their personal records.

## **Management and Administration**

**LMA** has policies and management strategies that ensure sound financial and administrative practices. Management guarantees the organisation's sound financial position and safeguards any Clients' fees until used for training/assessment. As stated, we have a Refund Policy, which is fair and equitable. Participant records are managed securely and confidentially and are available for Participant perusal on request. LMA has adequate insurance policies.

## **External Review**

LMA has agreed to participate in external monitoring and audit processes required by the Office of Training and Tertiary Education (OTTE) and the Victorian Registration and Qualifications Authority (VRQA). This covers random quality audits (internal and external), audit following complaint and audit for the purposes of continual registration status.



**LMA will honour all guarantees outlined in this Code of Practice.**