

# Regulatory Compliance and Governance Policy

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<b>Organisation</b>	Austraining (WA) Pty Ltd
<b>RTO Code</b>	52946
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## Purpose and Scope

This policy sets out how Austraining WA ensures compliance with the 2025 Standards for Registered Training Organisations (Outcome Standards, Compliance Standards and Credential Policy), the National VET Regulator Act 2011 and all other applicable legislation and regulatory requirements. It applies across all operations and delivery contexts.

This policy is read alongside the Training and Assessment Policy, the Marketing, Recruitment and Enrolment Policy, and the Complaints, Appeals and Student Support Policy.

## 1. Fit and Proper Persons

Austraining WA ensures that all governing persons — including the Director, executive officers and high managerial agents — satisfy the Fit and Proper Person Requirements set out in the Compliance Standards. Governing persons are vested with sufficient authority to ensure Austraining WA complies with the 2025 Standards at all times.

Governing persons act diligently and make informed decisions that facilitate compliance with the Outcome Standards, Compliance Standards and Credential Policy. They lead a culture of integrity, fairness and transparency in the delivery of services.

## 2. Compliance with the 2025 Standards

Austraining WA ensures it complies with all three components of the 2025 Standards — the Outcome Standards, the Compliance Standards and the Credential Policy — at all times and across all operations, including where services are delivered on its behalf by a third party.

Austraining WA complies with all Commonwealth, state and territory legislation and regulatory requirements relevant to its operations, including:

- the National VET Regulator Act 2011
- the Student Identifiers Act 2014
- the Privacy Act 1988 (Cth) and the Australian Privacy Principles
- the Disability Standards for Education 2005
- the Work Health and Safety Act 2020 (WA)
- anti-discrimination legislation applicable in Western Australia

- the National Principles for Child Safe Organisations (for delivery to under-18 learners)
- the AQF Qualifications Issuance Policy
- the Financial Viability Risk Assessment Requirements under the National VET Regulator Act 2011.

Austraining WA ensures its staff and learners are informed of any changes to legislative and regulatory requirements that affect the services delivered.

### **3. Annual Declaration on Compliance**

Austraining WA provides an annual declaration on compliance to the Training Accreditation Council (TAC) of Western Australia, confirming whether it:

- currently meets the requirements of the 2025 Standards across all its scope of registration
- has met the requirements of the Standards for all AQF certification documentation issued in the previous 12 months
- has training and assessment strategies and practices in place that will ensure all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

### **4. Information on the National Register**

Austraining WA maintains current and accurate information on the national training register ([training.gov.au](http://training.gov.au)) at all times, including scope of registration, qualifications delivered, RTO contact details and any changes to its operations. Austraining WA provides accurate and current information on its performance and governance consistent with the Data Provision Requirements.

### **5. Third-Party Arrangements**

Where services are provided on Austraining WA's behalf by a third party, that provision is governed by a written agreement that sets out each party's obligations and confirms that Austraining WA retains responsibility for the quality of training and assessment and for issuing AQF certification documentation at all times.

Austraining WA:

- notifies the regulator of any written third-party agreement within 30 calendar days of that agreement taking effect
- notifies the regulator within 30 calendar days of any such agreement coming to an end
- maintains sufficient strategies and resources to systematically monitor services delivered on its behalf
- requires third parties under written agreement to cooperate with the regulator in audits, monitoring and information requests.

### **6. Cooperation with the Regulator**

Austraining WA cooperates with TAC of Western Australia by:

- providing accurate and truthful responses to information requests from the regulator relevant to Austraining WA's registration
- cooperating in the conduct of performance assessments (audits) and monitoring of its operations
- providing quality and performance indicator data as required

- notifying the regulator within 90 calendar days of any substantial changes to its operations or any event that would significantly affect Austraining WA's ability to comply with the Standards
- notifying the regulator within 90 calendar days of any significant changes to its ownership
- cooperating in the retention, archiving, retrieval and transfer of records.

## **7. Public Liability Insurance**

Austraining WA holds public liability insurance that covers the full scope of its operations throughout its registration period. Evidence of insurance is maintained and available for review.

## **8. Risk Management and Financial Viability**

Austraining WA identifies, manages and reviews risks to learners, staff and the organisation on an ongoing basis. The Director monitors the financial position, financial performance and cashflows of the organisation and ensures Austraining WA meets the Financial Viability Risk Assessment Requirements.

Austraining WA maintains a system for identifying, managing and disclosing any real or apparent conflicts of interest. Where a conflict is identified, the Director determines an appropriate management response and the matter is documented.

## **9. Record Keeping and Data Reporting**

Austraining WA maintains complete and accurate records of all training and assessment activities, enrolments, completions and AQF certification documentation issued, in accordance with the Compliance Standards. Records are retained for the periods required under the Standards and applicable legislation.

Austraining WA submits Total VET Activity (TVA) data to NCVER at least annually and complies with all AVETMISS data requirements. Quality and performance indicator data is collected, analysed and reported as required by the regulator.

## **10. Policies, Procedures and Continuous Improvement**

All Austraining WA policies and procedures are reviewed at least annually and updated to reflect regulatory changes, validation findings, performance data and learner feedback. Policy changes are communicated to all relevant staff before taking effect.

The Continuous Improvement Register is maintained as the central record of identified issues, improvement actions, responsible persons and resolution dates. Improvement actions are tracked to resolution and the Director is responsible for ensuring improvements are implemented before the next cohort or delivery cycle is affected.