

Governance & Compliance Policy

ELC Training Australia Pty Ltd

RTOID: 45839



This is a controlled document and is uncontrolled when downloaded or printed in hardcopy format.

Document Name: Governance and Compliance Policy
Document Owner: Michael French
Version: 1.0

Document Approver: Michael French
Issue Date: 01/07/2023
Review Date: 01/07/2024

Purpose:	The purpose of this policy is to ensure ELC Training maintains its operations in a manner that at minimum meets ASQA prescribed governance and compliance requirements and at most provides assurance for good business practices.
Scope:	This policy applies to all RTO staff, contractors, any applicable third parties and students (learners) and covers all aspects of the ELC Training's operations that impact compliance with the Standards.
Responsibilities:	The CEO is ultimately accountable for adherence to this policy.
Standards:	This policy contributes to compliance with clauses 2.1-2.4, 7.1-7.2, 7.4-7.5 & 8.1-8.6.
Policies:	This policy is supported by all ELC Training policies.
Procedures:	This policy is supported by all ELC Training procedures.
Tools:	This policy is supported by all ELC Training tools, templates, registers & checklists.

Definitions

Standards means the Standards for Registered Training Organisations (RTOs) 2015 of the VET Quality Framework.

Training Product means AQF qualification skill set, unit of competency, accredited short course, or module.

Policy Statement

- a) ELC Training will maintain sound administrative practices, training and assessment delivery practices, systems, business processes and competent staff to ensure that:
- i) prospective students are sufficiently and accurately informed during the pre-enrolment phase of enrolment about ELC Training, its Training Products, and key policies;
 - i) during the enrolment phase, ELC Training adequately, securely, and effectively solicits and records information from students for the purposes of determining their eligibility, needs, support requirements, learning preferences and provides information to the student for them to understand their rights and obligations;
 - ii) quality training outcomes that flexibly caters for any adjustments required to improve learning effectiveness;
 - iii) it provides clear, unambiguous, consistent, fair instructions, methods and conducting assessments that serve to provide a student every opportunity of demonstrating their competency;
 - iv) records student results accurately and in a timely manner;
 - v) manages any formal complaints and appeals for complaints in a transparent, consistent, objective, fair, sensitive, confidential, and timely manner upholding the principles of natural justice and procedural fairness;
 - vi) issues compliant AQF certification;
 - vii) retains student and business records securely;
 - viii) it demonstrates a clear commitment to continuous improvement; and
 - ix) it demonstrates compliance with regulatory requirements as prescribed by ASQA or as required to deliver training as a Registered Training Organisation.
- b) Regarding records management and document retention, ELC Training will:
- i) ensure all physical student files which include a student's USI, and their sensitive information is securely stored in a lockable filing cabinet and all electronic student information will be securely stored with monitored and measured access rights;
 - ii) record all student information in an AVETMISS compliant student management system;

This is a controlled document and is uncontrolled when downloaded or printed in hardcopy format.

Document Name: Governance and Compliance Policy
Document Owner: Michael French
Version: 1.0

Document Approver: Michael French
Issue Date: 01/07/2023
Review Date: 01/07/2024

- iii) store records of qualification, unit attainment and issuance of certification for at least 30 years as required by ASQA;
 - iv) retain and store evidence of assessment decisions for fee-for-service students for a minimum of 6 months past the date of course completion or student withdrawal;
 - v) conduct regular student file accuracy and completeness checks either through its business processes or through independent internal audits;
 - vi) allow students to access their records through facilitation of a formal request; and
 - vii) ensure records will be made available to ASQA and its agents upon their request.
- c) Regarding the Student Code of Conduct, ELC Training will ensure that:
- i) all prospective and enrolled students are made aware of their obligations throughout their enrolment; and
 - ii) any student failure to comply with the principles outlined in the student code of conduct be investigated with any material matters leading to disciplines action including expulsion.
- d) Regarding general compliance with ASQA Standards, ELC Training will:
- i) ensure it always complies with these Standards for all its operations within the scope of its registration including instances where services are delivered on its behalf;
 - ii) ensure that its executive officers or high managerial agent are vested with sufficient authority to always ensure compliance to these Standards and meet the Fit and Proper Requirements as specified by Schedule 3 of the Standards;
 - iii) satisfy the requirements of the Financial Viability Risk Assessment;
 - iv) comply with Commonwealth, state and territory legislation and regulatory requirements relevant to its operations;
 - v) ensure its staff and clients are informed of any changes to legislative and regulatory requirements that affect services delivered;
 - vi) hold a minimum of public liability insurance that covers the scope of its operations throughout its registration period; and
 - vii) provide accurate and current information on its performance and governance consistent with the Data Provision Requirements as updated from time to time.
- e) Regarding cooperation with ASQA, ELC Training will:
- i) provide accurate and truthful responses to all information requests relevant to its registration during the conduct of any audits and monitoring of its operations;
 - ii) produce and publish quality/performance indicator data;
 - iii) provide information on substantial changes to its operations or any event that would significantly affect its ability to comply with the Standards within 90 calendar days of the change occurring;
 - iv) provide information on significant changes to its ownership within 90 calendar days of the change occurring; and
 - v) retrieve, and transfer records as requested.
- f) Regarding the use of third parties to deliver services on its behalf, ELC Training will:
- i) ensure these services are subject to a written agreement;
 - ii) apply sufficient strategies and resources to monitor these services to always ensure compliance to the Standards;

This is a controlled document and is uncontrolled when downloaded or printed in hardcopy format.

Document Name: Governance and Compliance Policy
Document Owner: Michael French
Version: 1.0

Document Approver: Michael French
Issue Date: 01/07/2023
Review Date: 01/07/2024

- iii) notify ASQA within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever comes first, and subsequently notify ASQA within 30 calendar days of that agreement subsiding;
 - iv) ensure that any third parties involved in delivering services on its behalf are under written agreement to cooperate with ASQA and obliged at minimum to assist with items e(i) and e(ii) above;
 - v) ensure that students are notified as soon as practicable should there be any changes to agreed services or changes regarding the use of third-party arrangements; and
 - vi) require ELC Training's CEO to approve all third-party arrangements.
- g) Regarding continuous improvement, ELC Training will:
- i) implement feedback forms within its business practices to generate the ideation that leads to action on the improvement of its operations, training delivery and general business practices; and
 - ii) systematically monitors and evaluates its training and assessment strategies and practices for ongoing compliance with Standard 1 for continuous improvement.
- h) Regarding privacy in the collection of personal information, ELC Training will:
- i) comply with the requirements and privacy principles as set out by the Privacy Act 1998 legislation and any state-based regulations in which it operates;
 - ii) ensure that all personal information collected from prospective and enrolled students be kept confidential, secure, and only used for the purposes of providing training services;
 - iii) ensure that individuals can request their personal information;
 - iv) ensure that individuals can make complaints if they feel their personal information has been mishandled;
 - v) ensure that individuals provide their consent and permission for Unique Student Identifier (USI) verification or application on their behalf, with the Student Identifiers Registrar;
 - vi) only provide to the Australian Government designated reporting authorities such as ASQA or state training authorities personal information regarding students, their enrolment, their progress, and their learning outcomes;
 - vii) seek individual's prior consent and permission prior to personal information disclosure beyond item (vi) above; and
 - viii) ensure that any electronic marketing materials or distribution lists allow individuals the permission rights to opt out of future marketing materials.
- i) Annually ELC Training will:
- i) undertake its own internal process to confirm compliance with the Standards; and
 - ii) provide an annual declaration to ASQA which includes confirmation that it meets the requirements of the Standards within the scope of its registration in the issuance of AQF certification over the previous 12-month period and has the training and assessment strategies and practices in place to ensure that all current and prospective students will be trained and assessed in accordance with the Standards.

This is a controlled document and is uncontrolled when downloaded or printed in hardcopy format.

Document Name: Governance and Compliance Policy
Document Owner: Michael French
Version: 1.0

Document Approver: Michael French
Issue Date: 01/07/2023
Review Date: 01/07/2024
