1.   Purpose

The objective of this Policy is to ensure compliance to the Standards for Registered Training Organisations and the VET Quality Framework.

2.   Policy Statement

Assured Learning Australia Pty Ltd (RTO# 52765) is committed to providing quality training and assessment products and services in compliance with the Standards for Registered Training Organisations (RTOs) 2015.

The owners of Assured Learning Australia believe that with solid policies and procedures, good staff and regular training, we can provide great quality training and assessment. Assured Learning Australia and its owners are dedicated to sourcing, upskilling and developing the best trainers and staff in industry as part of their commitment to providing the best training in industry. However, as part of this, we have strong policies and processes to ensure quality delivery.

3.   Compliance

This policy and procedure maps to Standards 1-8.

This policy and procedure has been developed to meet the new 2025 RTO Standards, broadly this policy covers all standards but specifically addresses Standard 4 Governance.

This policy and procedure has been developed to meet the Compliance Requirements:

- 5-9 AQF Certification

- 11 Logo Use

- 14 Annual Declaration of Compliance

- 15 Notification of Material Changes

- 16-17 Third Parties

- 20 Insurance

- 21 Compliance with Legislation

4.   Scope

Quality Advisor (QA) is responsible maintaining the policies, procedures, supporting training of all staff on policies and procedures and undertaking regular internal audits to ensure quality processes.

Director is responsible for performance management of staff who are identified as not conforming to the procedure.

This procedure is designed to be read in conjunction with the

- Training and Assessment Strategy Development Procedure (outlines how training programs are developed)

- Capability & Development Procedure (outlines how Assured Learning Australia ensures that assessment is undertaken by suitably qualified assessors and professional development of all staff)

- Complaints and Appeals Procedure (outlines how learners can challenge assessment decision outcomes)

- Conflict of Interest Procedure (outlines how staff can identify where a potential conflict of interest may affect an assessment decision to ensure validity of the assessment process)

- Effective Assessment & Validation Procedure (how assessment and validation are undertaken and recorded by Assured Learning Australia)

- Learner Support Policy & Procedure (how critical incidents and general learner support are provided within Assured Learning Australia)

- Access and Equity Policy and Procedure (how access and equity is ensured)

- Financial Management Policy and Procedure (how finances are managed and fees, charges and refunds and managed)

- Plagiarism, Cheating & Collusion Policy & Procedure (how Assured Learning Australia ensures authenticity in assessments)

- Enrolment Policy & Procedure (how Assured Learning Australia ensures learners are fully informed prior to enrolment)

- Industry Engagement Policy & Procedure (how Assured Learning Australia engages with industry)

- Risk Management Policy and Planning Tool (how courses are risk rated to ensure appropriate validation)

- Records Policy and Procedure (how assessment, enrolment records are managed)

- Third Party Policy and Procedure (how third parties are managed)

5. Procedure

Assured Learning Australia is committed to a quality Training and Assessment process and is passionate about continuous improvement of its business practice. To do this Assured Learning Australia will undertake a review of its practices against the Standards for Registered Training Organisations each calendar year and a Schedule for this will be provided to staff involved.

The internal audits also include the schedule of reviews completed in reporting to the regulator, this includes but is not limited to;

- Review of AVETMISS data and lodgement of the AVS to NCVER in January or February each year;

    o Review of duration of training of qualifications (in alignment to TAS);

    o Completion rates for units, qualifications and cohorts via saved aXcelerate reports;

- o Highest delivered units to determine risk rates for units and qualifications (data feeds into validation register in line with Risk Management Policy);

- Review of overall quality and self-assessment in order to submit Annual Declaration of Compliance with ASQA, by 31 March for the previous financial year; as part of this process, the following actions occur:

  - o Feedback from external audit is filtered into the outcomes (quality tab, view learner surveys);

  - o Annual check of ASQANet to ensure that delivery sites, website, training products are correct;

  - o Cross-check delivery in aXcelerate and TGA to identify training products that can be removed from scope;

  - o Cross-check of website, marketing and TAS to ensure consistency;

  - o Update of validation register to account for following financial year;

  - o Review of third parties for ASQANet for accuracy (where applicable);

- Review of AQTF surveys and general industry and learner feedback to generate and report on Quality Indicators in June each year.

  - o Pull information from aXcelerate on learner feedback (facilities, learner materials, duration, trainer quality, etc.)

  - o Review complaints and appeals register to identify any themes;

  - o Review feedback in aXcelerate instances (assessment management; unit of competency; instance; marking);

  - o Review feedback on trainers and identify any trainers that may need support or PD in relation to learner engagement;

Additional reviews occur through the following mechanisms;

- External reviews occur each year from Aniwaya in March prior to Annual declaration, feedback from the external review will filter into management meetings;

- Feedback is provided on a regular basis from Aniwaya in relation to Regulator feedback and RTO Industry best practice;

- Internal reviews which occur throughout the year;

- Validations and updates to training and assessment materials which occur throughout the year (refer to validation schedule);

- Completed instances in aXcelerate provide outlines of learner engagement outlining response rates of questions;

- Reviews which occur as a result of a complaint (reviewed with Directors and Quality Advisor);

- Reviews of documentation and policies in line with the Quality Management Schedule, held by the Quality Advisor;

- Reviews of policies and procedures as allocated by document control and updated by QA

All of the above feed into the internal RTO quality management process. For further information refer to the Quality Management Schedule found in the appendix.

Other quality management activities include but are not limited to:

- Review of trainer matrices

- Review of marketing and website

- TAS reviews

- Trainer Professional Development

6. Fit and Proper Person Management

Assured Learning Australia reviews the fit and proper persons (FFP) on an annual basis in line with the annual declaration of compliance. Assured Learning Australia management needs to identify individuals and organisations that have influence and control.

Definitions

- Influence: In the context of the FPPRs, "influence" refers to the ability to affect the decision-making process and strategic direction of a Registered Training Organisation (RTO). This doesn't necessarily imply formal authority or a designated managerial role. Instead, it encompasses any individual or entity that, through relationships, reputation, expertise, or other means, can significantly guide or shape the policies, practices, and overall direction of the RTO. For example, a person who has a substantial stake in an RTO or a key advisor who provides strategic guidance might be considered to have influence over the RTO.

- Control: In the regulatory context of RTOs, "control" refers to the authority to govern the decision-making processes, operational strategies, and overall management of a Registered Training Organisation. This involves the power to make, implement, and enforce key policy decisions, manage financial resources, and direct the operational aspects of the RTO. Control is not limited to those with official titles or recognised managerial roles; it also includes individuals or entities that have the practical ability to direct or oversee the RTO's activities and policies. This can be through ownership, contractual obligations, or other formal or informal arrangements that give them decisive influence over how the RTO operates. The expanded FPPRs recognise that those who exert such control, regardless of their official capacity, play a critical role in ensuring the RTO operates in compliance with legal and regulatory standards, thus safeguarding the quality and integrity of vocational education and training.

- Industry Experts or Consultants: Often engaged for their specialised knowledge or expertise, these professionals can exert substantial influence over an RTO's curriculum development, training methodologies, and compliance standards. Their recommendations and advice can play a pivotal role in shaping the RTO's educational and operational approaches. It is important that prior to engaging with a consultant that within the scope of services agreement, it is determined if the consultant will be provided with control or just influence and how their fit and proper will be managed if requested by the regulator.

FFPs are reviewed annually in line with the completion of the Annual Declaration.

7.   Annual Review of AQF Documentation

Assured Learning Australia ensures that all AQF certification documentation, including testamurs and statements of attainment, meets regulatory requirements before issuance. As part of our annual compliance review process, all certificate templates within the Learner Management System (LMS) are checked and verified prior to the submission of the Annual Declaration on Compliance. This review ensures that all issued qualifications and statements of attainment align with the AQF Qualifications Issuance Policy and regulatory obligations under the Standards for RTOs. Key elements reviewed include mandatory information requirements, accuracy of qualification details, correct use of the NRT logo, and compliance with Student Identifier requirements. Any identified discrepancies are corrected immediately to maintain the integrity and compliance of certification processes. Additionally, records of issued AQF certification documentation are maintained for the required retention periods, ensuring accessibility for current and past learners, and reports are provided to the VET Regulator as required.

8.   Notification of Material Changes

Assured Learning Australia has a structured process in place to identify, assess, and report any material changes to our operations in compliance with regulatory requirements. If a substantial change occurs that could impact our ability to comply with the Standards for RTOs, we ensure timely notification to the VET Regulator within 10 business days of becoming aware of the matter. These changes may include significant operational shifts, changes in key personnel, or ownership transitions.

Our Quality Advisor (or delegated authority) is responsible for monitoring organisational and regulatory risks and ensuring that any material changes are promptly documented and reported. Internal procedures ensure that any changes to business structure, key personnel, financial status, training delivery arrangements, or regulatory obligations are reviewed, assessed for risk, and communicated to relevant stakeholders, including the regulator.

Where state funding obligations apply, we ensure that any required notifications or approvals under funding contracts are also addressed in parallel with regulatory reporting. Additionally, records of all notifications and supporting evidence are maintained as part of our continuous compliance and governance framework.

9.   Managing Workplace Culture, Fairness, and Staff Capability

We are committed to fostering a workplace culture that upholds fairness, integrity, and equity in all aspects of our operations. We ensure that all staff, including trainers and assessors, are equipped with the knowledge, skills, and resources necessary to deliver high-quality, inclusive education. Our approach integrates structured professional development and clear expectations for fairness and accountability across all roles.

Professional Development and Capability Building

We recognise that highly skilled trainers and staff are the foundation of delivering quality training and assessment. Our Capability & Development Policy outlines the structured approach we take to ensure staff competence, industry relevance, and compliance with training standards. This includes:

- Regular professional development in both industry currency and VET compliance, ensuring trainers remain up to date with best practices.

- Mandatory participation in internal and external training, covering assessment validation, compliance, and emerging industry trends.

- Annual competency and currency reviews to ensure staff meet all regulatory requirements.

- Structured onboarding and induction processes for new trainers and staff, equipping them with the knowledge to uphold compliance and quality standards.

- Support for ongoing upskilling, including opportunities for further education, industry placements, and participation in validation sessions.

Fairness, Equity, and Inclusion in the Workplace

We uphold the principles of fairness and inclusion across all aspects of our organisation, as detailed in our Access & Equity Policy. Our approach includes:

- Transparent and equitable policies ensuring all staff and learners are treated fairly and without discrimination.

- Cultural safety training for all staff to build awareness and respect for diverse learner backgrounds, particularly in supporting Aboriginal and Torres Strait Islander learners.

- Clear policies on workplace conduct, ensuring a safe and professional environment free from harassment, bias, or discrimination.

- Active monitoring and feedback mechanisms, ensuring any concerns related to fairness or workplace culture are addressed promptly.

Through our commitment to capability development and fairness, we create a positive learning and working environment where both staff and learners can thrive.

10. Monitoring and Improvement

This policy will be reviewed each year and as a standing item, include details of the date it was reviewed and any changes.

- November 2022 - initial creation

- June 2023 - Update based on Regulator feedback

- January 2024 - Update to account for new draft standards and updated fit and proper person requirements

- Feb 2025 - Updates in line with credential policy, compliance requirements, DEWR policy guidance.

Policy Additions or Amendments

Separate to the mandated annual review, the policy may be varied at any time due to legislative changes or to fall in line with widely accepted best practices in the workplace. In the event of any changes, the policy will be updated, and relevant stakeholders advised.

Lyle Barrett - CEO

Quality Management Schedule

Month	Quality Area	2025 RTO Standards	Activity	Evidence	Relevant Policies
January	Data Management	Compliance requirements 16-17 (Third Party)	AVETMISS - Review completion rates by trainer	AVETMISS Submission	Records & QI
	Agent/Third Party Review		Agent Review & alignment	Email confirmation and screenshots ASQANet and Website	QI & Third Party
	Insurance	20 Liability	Check Insurance renewal dates and set reminder	Insurance Certificate of Currency	QI
February	Trainer & Assessors (1.13-1.16)	Standard 3.2-3.3	Set PD for year, review of competency and currency	E.g., PD Calendar, email to trainers, updated trainer matrices	Capability
	AQF Certificates	Comp. Req 5-9 AQF Certification	Review and ensure that AQF templates for testamurs, ROR and SOA are correct	Certificate templates in SMS	QI
March	Internal/External Audit (All)	All Standards Comp Req. 14 Annual Declaration	Annual Declaration of Compliance and External Audit	Annual Declaration of Compliance (automated email from ASQA)	All Policies

Month	Quality Area	2025 RTO Standards	Activity	Evidence	Relevant Policies
		15 Notification		If applicable, external audit report findings and management action plan	
April	Validation (1.8-1.12)	Standard 1.3-1.5	Refer to validation schedule (update for calendar year)	E.g., Updated validation schedule, validation forms, etc	Effective Training, Assessment & Validation; Plagiarisms etc.; Risk Management
May	Validation (1.8-1.12)	Standard 1.3-1.5	Refer validation schedule (ensure progression as per validation schedule)	E.g., Updated validation schedule, validation forms, etc.	Effective Training, Assessment & Validation; Plagiarisms etc.; Risk Management
June	QI Report, Feedback, Industry Engagement (1.5-1.7, 2, 6)	Std 2.3-2.6, 2.7-2.8, 4.4	Review learner support policy; access and equity policy and update DAIP if required

Review complaints, review AQTF feedback, create and submit QI Report | QI Report (automated email response from ASQA) and overview AQTF Reports from SMS | Complaints and Appeals; Learner Support; Access & Equity; QI |

Month	Quality Area	2025 RTO Standards	Activity	Evidence	Relevant Policies
July	Trainer & Assessors (1.13-1.16)	Standard 3.2-3.3; Credential Policy	Check on PD progression, review of competency and currency	E.g., PD Calendar, email to trainers, updated trainer matrices	Capability
August	Marketing and Enrolment (Std 4/5)	Standard 2.1-2.2 Compliance Requirements 1, 3, 4	Check marketing, website, and enrolment (consistent with TAS)	E.g., Internal audit report, emails to marketing, updates documented in Quality Register, etc.	Marketing; Enrolment; Financial Management; QI
September	Fees and Charges (5, 7)	Standard 2.1-2.2 Compliance Requirements 3-4	Ensure fees are being charged correctly; Check fees and durations in line with website	E.g., Updated fee schedule, email to management, internal audit report, updates/actions documented in Continuous Improvement Register	Financial Management; QI
October	Validation (1.8-1.12)	Standard 1.3-1.5	Refer validation schedule (ensure progression as per validation schedule)	E.g., Updated validation schedule, validation forms, etc.	Effective Training, Assessment & Validation; Plagiarisms etc.; Risk Management

Month	Quality Area	2025 RTO Standards	Activity	Evidence	Relevant Policies
November	TAS and Industry Engagement (1.1-1.6)	Standard 1.1-1.8; 2.3-2.4	Ensure that there are TAS for all courses, update informal industry engagement register	E.g., Updated TAS, reflect in Industry Engagement Register, save in client file, meeting minutes from clients, etc.	TAS Development; Learner Support; Industry Engagement
December	End of year- Activities will be based on findings from year		Policy Reviews	TBA based on key areas of concern	

Policy in Action

The effectiveness of this policy is reflected in the learner experience, ensuring that learners receive high-quality training and assessment in a fair, supportive, and well-structured environment. When this policy is working well, learners can expect:

- Clear and Transparent Information – Learners are fully informed about their course structure, fees, assessments, and available support before enrolment, ensuring they can make confident and informed decisions.

- Engaging and Industry-Relevant Training – Trainers are highly skilled, current in their industry expertise, and provide engaging, hands-on learning experiences that align with real-world industry needs.

- Access to Support and Equity Measures – Learners, regardless of their background or individual needs, have access to reasonable adjustments, learner support services, and flexible learning pathways to help them succeed. This includes language, literacy, and numeracy (LLN) support, disability accommodations, and tailored learning plans.

- Fair and Valid Assessment Processes – Assessments are transparent, fair, and competency-based, ensuring learners are assessed on what they know and can do rather than being disadvantaged by factors unrelated to competency.

- Responsive and Accountable Staff – Trainers and administrative staff are knowledgeable about policies, processes, and compliance requirements, ensuring consistent and professional interactions with learners.

- Continuous Improvement Based on Learner Feedback – Learner feedback is actively sought, reviewed, and used to improve training delivery, assessment practices, and learner support services. Complaints and appeals are handled professionally, ensuring learners feel heard and respected.

- Timely Certification and Recognition of Achievements – Upon completion of their qualification or units, learners receive accurate and compliant AQF certification within 30 days, allowing them to progress to further study or employment without unnecessary delays.

By implementing and continuously refining this policy, < Assured Learning Australia > creates an inclusive, high-quality learning environment that empowers learners to achieve their career and education goals while ensuring compliance with the 2025 RTO Standards.

Evidence of Policy in Action

Evidence of this policy in action is best reviewed through reference to the Quality Management Schedule.