

Compliance

The Compliance Policy was formulated by the Australian Online Music Institute as we are committed to providing high quality training and assessment to our learners in accordance with the Standards for Registered Training Organisations (RTOs). This policy has been developed taking cognisance of AOMI’s values and its mission statement. AOMI has developed this policy in consultation with Industry Skills Councils and in accordance with Commonwealth and State legislation and all relevant regulatory requirements.

1. Purpose

- 1.1 To ensure that the standard of training and assessment practices delivered by AOMI, always meet the compliance and quality requirements of VET training packages.
- 1.2 To ensure that AOMI practices meet the Standards for Registered Training Organisations (RTOs) 2015
- 1.3 To outline compliance obligations and expected responsibilities for staff have been communicated effectively.
- 1.4 To ensure the integrity of the VET sector
- 1.5 To establish compliance monitoring practices.
- 1.6 To ensure AOMI is legally compliant with the VET Regulator at all times.
- 1.7 To ensure AOMI conducts its operations in accordance with ASQA.
- 1.8 To ensure AOMI complies with the relevant Commonwealth, State and Territory legislation and regulatory requirements.
- 1.9 To ensure staff and learners are informed of any changes to legislation and regulatory requirements relevant to AOMI’s operations.
- 1.10 To ensure AOMI provides and accurate and current information as required by the Data Provision Requirements.
- 1.11 To outline how compliance breaches will be dealt with.

| Revision | By Whom | Date |
|-------------------------|------------|-----------|
| New policy developed | G Bottrill | 9 Aug 17 |
| Reviewed with changes | A Palmer | 31 Jul 19 |
| Reviewed, minor changes | A Palmer | 20 Sep 20 |

2. Scope

2.1 The compliance policy provides guidelines to all individuals including but not limited to, staff members, management, learners and volunteers.

2.2 AOMI monitors compliance across the following areas:

- Marketing
- Legislation
- Certification, Issuing of results and Accreditation
- Fees and Funding
- Access and equality
- Applications for enrolment
- Training and Assessment
- Communication
- Record keeping
- Management Systems
- Insurance
- Financial Management
- Fees and Funding

2.3 AOMI will endeavour to implement and monitor compliance practices to ensure that the standard of training and assessment practices delivered by AOMI meets the compliance and quality requirements of training packages and the VET Quality Framework.

3. VET Quality Framework

- The Standards for National VET Regulator (NVR) Registered Training Organisations
- The Fit and Proper Person Requirements
- The Financial Viability Risk Assessment Requirements
- The Data Provision Requirements, and
- The Australian Qualifications Framework

4. Procedure Overview

- 4.1 AOMI's training and assessment resources and procedures will maintain a high standard of compliance with the VET E-standards for Training at the times.
- 4.2 AOMI will ensure quality mapping of all units on its course is undertaken when third party resources are used.
- 4.3 AOMI will update the Training and Assessment Strategies accordingly.
- 4.4 The principal is responsible for the implementation, communication of, monitoring and assessing of compliance practices and procedures in line with national VET requirements.
- 4.5 The principal is responsible for notifying staff of any changes to regulation requirements and/or legislation within a sufficient timeframe. All staff and learners are informed of changes to legislative and regulatory requirements that affect the service delivered.
- 4.6 The principal is responsible for ensuring AOMI's practices are in line with the *Commonwealth National Vocational Education and Training Regulator Act 2011*.
- 4.7 AOMI will maintain and supply appropriate information and be responsible for all communication to registering and governing bodies, statutory memberships and legal bodies such as ASQA and the VET Regulator.

5. VET Regulator

AOMI cooperates with the VET Regulator to ensure it is legally compliant at all times by:

- 5.1 Providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration
- 5.2 Cooperating with the VET Regulator in the conduct of audits and the monitoring of its operations;
- 5.3 Providing quality/performance indicator data
- 5.4 Providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;

- 5.5 Providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
- 5.6 Cooperating with the VET Regulator in the retention, archiving, retrieval and transfer of records
- 5.7 Notifying the regulator of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and notifying the regulator within 30 calendar days of the agreement coming to an end.
- 5.8 Providing an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:
 - Currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
 - Has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

6. ASQA

AOMI cooperates with ASQA to ensure it is compliant and ethical at all times by:

- Providing accurate and truthful responses to information requests relevant to the RTO's registration
- Providing accurate and truthful responses to information in the conduct of audits and the monitoring of its operations
- Providing quality/performance indicator data to ASQA as required
- Providing information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO's ability to comply with these standards within 90 days of the change occurring
- Ensuring the College's policies and procedures are in line with ASQA requirements in relation to the retention, archiving, retrieval and transfer of records

AOMI will also ensure that ASQA is advised of any significant changes in ownership or management or operations such as:

- Financial viability or
- Governance / management structure

7. Reporting

AOMI reports data consistently, accurately and on time to external bodies which include but are not limited to;

- ASQA
- NCVET

Examples of regular reports include but are not limited to;

- Annual AVETMISS reporting
- Quality indicator and data provision reporting
- Annual CEO declaration

This Policy will be reviewed every two years.



William Palmer

CEO

30th September 2020