

Compliance Policy

POLICY NUMBER:	RC-DSNR-PO-0008	VERSION:	1
DATE ADOPTED/APPROVED:	12.08.2015	DATE LAST REVIEWED:	12.08.2015
DATE OF NEXT REVIEW:	12.08.2017	REVIEW FREQUENCY:	2 Yearly
AUTHORISED BY:	David Donovan	REVIEWED BY:	Robyn Dupuis
POLICY OWNER:	Training Manager		
REVIEW PROCESS:	Training Manager, Compliance Coordinator		
DOCUMENT MANAGEMENT:	K:\RTO\Compliance\ASQA\SNR Policies 2015\SNR 8		
COMMUNICATION:	Relevant staff will be notified by email when the policy has been authorised.		
POLICY CONTEXT: This policy relates to:			
NVR STANDARDS:	SNR 8		
LEGISLATION OR OTHER REQUIREMENTS	<ul style="list-style-type: none"> • National Vocational Education and Training Regulator Act 2011 • VET Quality Framework 		
OTHER POLICIES	All DTEC overarching and supplementary policies		
FORMS AND OTHER DOCUMENTS	<ul style="list-style-type: none"> • Auspice Agreements • Learner and Employer Surveys • Archive Process 		
DEFINITIONS	Third Party ASQA Audit		
POLICY INFORMATION:			
POLICY	<p>i) DTEC cooperates with the VET Regulator:</p> <ul style="list-style-type: none"> a) By providing accurate and truthful responses to information requests from ASQA; b) In the conduct of audits and the monitoring of its operations; c) By providing quality performance indicator data; d) By providing information about substantial changes to its operation or any event that would significantly affect DTEC's ability to comply with the SNRs within 90 calendar days of the change occurring; e) By providing information about significant changes to its ownership within 90 calendar days of the change occurring ; and f) In the retention, archiving, retrieval and transfer of records. 		

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	<ul style="list-style-type: none"> ii) DTEC ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator: <ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from ASQA relevant to the delivery of services; and b) In the conduct of audits and the monitoring of its operations. iii) DTEC notifies ASQA <ul style="list-style-type: none"> a) Of any written agreement entered into under SNR 2, Clause iii 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 b) Within 30 calendar days of the agreement coming to an end. iv) DTEC provides an annual declaration on compliance with the SNRs to ASQA and in particular whether it: <ul style="list-style-type: none"> a) Currently meets the requirement 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 b) 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. v) DTEC complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. vi) DTEC ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.
SCOPE	This policy applies to the Training Manager, Compliance Coordinator and all Third Party organisations.
PROCEDURES	DTEC will achieve this policy by: <ul style="list-style-type: none"> • Following Third Party Processes and Procedures • Ensuring records are stored in keeping with industry requirements