Purpose

The Governance policy provides with a detailed procedure outlined to ensure that Central Australian College has an effective governance and administration arrangement in place to sustain the business viability by closely monitoring and analysing the business, operations and financial prospective that effects directly and indirectly to the growth and quality of Central Australian College governed under the ASQA and CRICOS registration.

Scope

This policies applies to all internal and external stakeholders of the company. The Chief Executive Officer (CEO) / Managing Director is solely responsible for ensuring compliance with the regulatory and legislative requirements and effective implementation of the policy by the RTO Manager/ Director of Studies under close supervision of the CEO.

Relevant standards, acts and legislation

The Governance policy and procedures are within the scope of compliance requirement adhering to ASQA regulations, SRTO 2015 standard 5 clause 5.4; standard 7 and 8 ; ESOS National Code Standard 15; 2014-16 VET Funding Contract, General Obligations of RTO 3.4.

Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>ASQA</td>
<td>Australian Skills Quality Authority</td>
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<tr>
<td>CEO</td>
<td>Chief Executive Officer</td>
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<tr>
<td>ESOS</td>
<td>Education Services for Overseas Students it is a legislative framework, commonly known as ESOS Act 2000.</td>
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<tr>
<td>'high managerial agent'</td>
<td>Section 5 of the ESOS Act defines a high managerial agent of a provider as being an employee, agent or officer of the provider with duties of such responsibility that his or her conduct may fairly be assumed to represent the provider in relation to the business of providing courses. It encompasses ‘fit and proper’ test.</td>
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<tr>
<td>Insolvency</td>
<td>The state of bankruptcy or financial crisis.</td>
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<tr>
<td>Indemnity</td>
<td>security or protection against a loss or other financial burden.</td>
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<td>TPS</td>
<td>Tuition Protection Services</td>
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<td>SRTO 2015</td>
<td>Standards for Registered Training Organisations 2015</td>
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<td>VET</td>
<td>Vocational Education and Training</td>
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<td>VTG</td>
<td>Victorian Training Guarantee</td>
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Governance Policy and Procedure

Policy

The Governance Policy commits that Central Australian College would implement the following policy statements strictly adhering to the legislative and regulatory requirements as stated above. The policy statement includes:

1. The Chief Executive Officer guarantees sufficient authority and resources in place at all times to ensure RTO's compliance with the regulatory and legislative standards and access to financial viability risk by the RTO Manager/ Director of Studies under the CEO's close supervision.
2. The Chief Executive Officer ensures that all the executive officers and high managerial agents meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.
3. The Chief Executive Officer ensures that effective and transparent communication on relevant information are provided to staff, learners, employers, third party and the government that is determined as essential as per ASQA, CRICOS and SVTS standards.
4. Chief Executive Officer will ensure it complies with the VET Quality Framework in line with its scope of registration as listed on the National Register.
5. The Chief Executive Officer ensures that Central Australian College holds a public liability insurance that covers the scope of its operations throughout its registration period.
6. The Chief Executive Officer ensures that Central Australian College implements and assures fee protection measure to protect prepaid fees by students.
7. The RTO Manager under the close supervision of the Chief Executive Officer ensures that Central Australian College provides accurate and current information on Central Australian College operations and business overall performance and governance consistent with the Data Provision Requirements as updated from time to time.
8. The Chief Executive Officer along with the RTO Manager/ Director of Studies ensures at all times to cooperate with ASQA in responding to requests for information, undergoing audits and managing records.
9. The Chief Executive Officer ensures to notify ASQA for any third party arrangements and agreements.
10. The Chief Executive Officer ensure at all times to notify ASQA, SVTS and CRICOS of significant changes that has occurred or would occur in due course of time that would lead to major effect in complying with any legislative requirements stated under ASQA standards.

Procedures

The following procedures outlines the steps that CAC would undertake in implementing the above outlined policy statements:

1. Governance structure and process

   1.1. Governance structure: The CEO of Central Australian College ensures that all the Managers responsible for the RTO management and operations have sufficient authority to meet their responsibilities on a daily basis by developing a governance structure depicted through the Organisation’s Chart and detailed position description for each staff.

   1.1.1. Organisation’s chart and position descriptions: The Organisation’s chart outlines the decision making and reporting hierarchy to ensure sufficient authority and resources are provided and is strictly governed under a reporting framework. All the Department’s Managers works under close supervision of the RTO Manager/ Director of Studies who is vested with the accountability in managing the entire operations of Central Australian College.
The RTO Manager/ Director of Studies reports to the CEO on daily basis and the CEO ensures that the RTO Manager/ Director of Studies is provided with sufficient resources and authority to operate by conducting weekly meetings and reviewing RTO Manager’s report on progress.

1.1.2. **Assess ‘fit and proper person’**: The CEO ensures to undertake a ‘fit and proper person’ declaration from the Managers every five years to meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3. The ‘fit and proper person’ declaration from each Managers are recorded in their respective employee files. The CEO ensures to provide a copy of declaration to ASQA and CRICOS whenever requested.

1.1.3. **Essential Employee’s requirements:**

   a. **Communication structure**: The CEO is responsible to outline the communication structure comprising of timely reporting and conducting formal and informal meetings by outlining a communication plan every year with the help of the RTO Manager. The Communication plan is revised and updated every fiscal year. The RTO Manager is responsible for implementing the Communication plan in a timely manner and produce meeting minutes and reports for the CEO and the departments.

   b. **Employee Protection**: Central Australian College holds public liability insurance that covers the scope of its operations throughout its registration period. CAC retains evidence that it holds public liability insurance by keeping a copy of a certificate of currency or similar.

   c. **Learner protection**: At all times, CAC takes the responsibility and commitment to govern learner’s protection from enrolment stage to completion stage. Learners are well informed about the Training and Assessment requirements with their relevant fees and other support services prior to enrolment. CAC enrolment policy and procedure outlines detail information on enrolment procedures and mechanism to inform students.

   CAC does not collect more than maximum $1500 per learner in prepaid fees for student’s studying under Fee for Service. However, Central Australian College has business insurance covered by Andrew Young and Associates Insurance brokers for Income and Indemnity protection.

   Central Australian College has a complaint and appeal policy and procedure in place to provide student with the right to express their dissatisfaction with any of the academic and non-academic services. CAC complain and appeal policy outlines the procedures. CAC collects student feedback for Quality Indicator surveys and other student surveys for continuous improvement.

   CAC ensures that learners are aware of their rights and responsibilities prior to enrolment in courses within CAC’s scope of registration.

1.2. **Governance Process**: CAC will maintain a strategic plan that includes a business plan for a five year period and ensure an annual review of each plan is conducted timely. The strategic plan will include the organisation’s vision, mission and details of its senior management and outline its strategic directions. Central Australian College ensures a governing process to be implemented and monitored on timely basis. The governing process includes:

1.2.1. **Business Planning**: The business plan will include an organisational chart, an outline of all courses, locations and organisational facilities and will include the organisation’s risk management strategy, workforce development plan, and marketing plan. The business plan is reviewed and updated every year to ensure industry currency and
business viability. The RTO Manager is responsible for business planning under close supervision of the CEO.

1.2.2. **Financial Planning:** The financial plan includes review outcome of the fiscal year financial viability risk, budgeting and forecasting for the following fiscal year. It is annually review prior to the end of the fiscal year. The RTO Manager along with the internal and external accountant is responsible to prepare the financial planning and reports under close supervision of the CEO.

1.2.3. **Compliance:** The RTO Manager under the close supervision of the CEO is responsible to ensure that Central Australian College at all times complies with the governing legislative framework. The RTO Manager with the help of the Compliance Officer prepares a Continuous Improvement Plan scheduled for each month in a year to review implementation of every policy and procedures. At the end of the year, RTO Manager conducts internal audit and external audit for ensuring compliance the VET Quality Framework in line with its scope of registration as listed on the National Register.

1.3. **Notification of change:** CAC shall notify ASQA within 90 days of changes to the following, in writing:

- executive officer or high managerial agent
- financial administration status e.g. liquidators being appointed
- legal name or type of legal entity
- ownership, directorship or control
- anything that may affect the fit and proper person status of an influential representative of the RTO
- any fundamental funding/revenue source (e.g. government funding contract allocation)
- the RTO's business strategy driven by a change to government policy
- delivery to apprentices or trainees employed under a training contract, or
- significant change to the RTO's funding revenue source (e.g. Government funding contract)
- commencement of delivery in other states or territories
- contact details of ‘day-to-day’ contact person
- contact details of high-managerial agents
- any other significant event.

1.3.1. The acting CEO shall use the Notification of material change or event form (available at [www.asqa.gov.au](http://www.asqa.gov.au)) to notify ASQA of any of major changes. Major changes may include:

- Changes to chief executive officer/principal executive officer/executive officer/high managerial agent;
- Financial administration status
- Legal name or type of legal entity
- Ownership, directorship and/or control (including sale of RTO business).

1.3.2. CAC shall use the Notification of change of provider details form (available at [www.asqa.gov.au](http://www.asqa.gov.au)) to notify ASQA of the changes to provider details, for examples changes to addresses, contact details, website or CAC delivery sites.

1.3.3. CAC shall notify ASQA whenever it enters into, or cancel, a written agreement with a third party. CAC shall notify of these changes within 30 calendar days.

1.3.4. CEO shall notify ASQA in writing of business sales/transfers and mergers as soon as practicable after they happen and within 90 calendar days of the change occurring.
1.3.5. CAC shall notify ASQA in writing of impending changes to legal entity by using Notification of change of provider details form (available at www.asqa.gov.au).

1.3.6. Where a significant change also affects the ability of CAC to fulfil any obligations under VTG vet funding contract, the authority shall be notified. Such changes may include:

- Any changes to registration status
- If CAC becomes subject to insolvency
- If a decision is made regarding restructuring of business or change in ownership

1.3.7. Change to high managerial agent:
CAC shall notify the designated authority about the changes to high managerial agent. CAC will maintain copies of:

- Written notification to the designated authorities about changes
- To assist the regulatory authority in assessing whether a designated ‘high managerial agent’ passes the fit and proper test.
- Evidence that staff and students were informed about the changes.

2. Informing staff and students about any significant changes
Notification on any of the changes mentioned in 1.3 and 1.3.1. will be forwarded to all the staff, current students and affected students.

- Notification shall be given in writing to the students through emails sent from student management systems (RTO manager and VETTRAK).
- Notices will also be put up in the noticeboards throughout CAC premises and other delivery sites.
- CAC shall regularly discuss any proposed changes through the relevant meetings.
- CAC staff members will be notified of the changes in writing through emails. Information will also be circulated to all CAC staffs through management and trainers meeting minutes.

2.1. Arranging for students to receive a copy of their records
In the circumstances mentioned above in 1.3 and 1.3.1 CAC will:

- Make arrangements for all current students to receive a copy of their student records including, if not previously provided to the students:
  - A testamur for each qualification completed
  - A statement of attainment for any units of competence completed in partial fulfilment of a qualification
  - Evidence of training and assessment activities undertaken that, at the time of expiry of the registration period, were only in partial fulfilment of a unit of competence and/or module was achieved.
- Provide the authority with an agreed electronic and/or hard copy form the following
  - information for each student who has undertaken nationally recognised training with the
    - Registered Training organisation since initial registration:
      - Full name of student and date of birth
      - Name and national code of qualification(s) issued
      - Names and national codes of the units of competence and/or modules completed
      - Dates on which the requirements for each qualification were achieved or, for qualifications only partially achieved, the date each unit of competence and/or module was achieved.
- Return the Certificate of Registration to the Council on completion of the sale, transfer or assignment.
Policy Reference

- ESOS Framework (ESOS ACT 2000) Standard 15
- SRTO 2015 standard 5 clause 5.4; standard 8;
- 2014-16 VET Funding Contract, General Obligations of RTO 3.4

Relevant Policies

- Enrolment Policy and Procedure
- Fees, Charges and Refunds Policy and Procedure
- Student Support Services Policy and Procedure
- Complaints and Appeals Policy and Procedure
- Continuous Improvement Policy and Procedure

Relevant Forms and Documents

- Notification of material change or event form
- Notification of change of provider details form