

Compliance Arrangements

The purpose of this policy is to establish the principles, systems, and processes that ensure The Celebrant Institute RTO operates in full compliance with all applicable laws, regulations, standards, and contractual obligations. The policy supports the delivery of quality training and assessment services while maintaining the integrity, transparency, and accountability required by the *VET Quality Framework* and other relevant legislative and regulatory requirements.

This policy applies to all personnel within The Celebrant Institute RTO, including governing body members, management, trainers and assessors. It encompasses all aspects of the organisation's operations, including training delivery, student support, governance, financial management, and contractual obligations.

The policy is applicable to the organisation's interactions with regulatory bodies, stakeholders, and students, both domestically and internationally.

The Celebrant Institute RTO is committed to maintaining the highest standards of compliance in all areas of its operations.

The organisation fosters a culture of quality by providing personnel with clear roles and responsibilities, regular updates on regulatory changes, and ongoing training to support their understanding and implementation of compliance requirements. The Celebrant Institute RTO actively monitors, evaluates, and continuously improves its systems and processes through internal audits, external feedback, and stakeholder engagement.

Rationale

The Celebrant Institute RTO ensures that all personnel are well-informed about changes to regulatory requirements and their responsibilities through a robust communication framework, comprehensive policies, and systematic processes. Key elements of this approach include ongoing training, regular updates, and accessible documentation. Regulatory compliance is a central component of the organisation's operations, and personnel are regularly updated through structured meetings, email notifications, and targeted training sessions. For instance, internal communication activities are used to inform personnel about legislative changes, and training and assessment strategies for each product include up-to-date legislative requirements.

The organisation conducts regular internal audits to ensure personnel understand and adhere to the *Standards for RTOs* and other applicable legislation. These audits provide an opportunity to identify gaps in knowledge or application, allowing for timely intervention and rectification.

Personnel responsibilities are clarified and reinforced through detailed position descriptions, and the organisation's commitment to compliance is integrated into its operational culture. The communication framework ensures that personnel at all levels understand their roles and obligations. Key tools such as the **Stakeholder Engagement and Communications Plan** and the VET-specific legislative requirements are used to provide a consistent and transparent flow of information.

Finally, The Celebrant Institute RTO fosters a culture of accountability and continuous improvement, encouraging personnel to seek clarification and provide feedback. This open communication environment, coupled with the organisation's emphasis on compliance education, ensures that all personnel remain aware of and aligned with the latest regulatory requirements and their associated responsibilities.

VET Quality Framework

The Celebrant Institute RTO is involved in the process of delivering nationally recognised training courses. The Celebrant Institute RTO is registered as an RTO, under the *National Vocational Education and Training Regulator Act 2011* (Cth) to undertake these services, having met and maintaining compliance with the *VET Quality Framework* standards and requirements.

The *VET Quality Framework* includes:

- The *Standards for Registered Training Organisations, including Outcome Standards, Compliance Requirements and Credential Policy*,
- The *Australian Qualifications Framework*,
- The *Fit and Proper Person Requirements*,
- The *Financial Viability Risk Assessment Requirements*, and
- The *Data Provision Requirements*.

The Celebrant Institute RTO is audited by ASQA to these requirements on an ongoing basis. As the Commonwealth Government established regulator, ASQA has the authority to manage, audit and deregister RTOs.

In addition to the *VET Quality Framework*, The Celebrant Institute RTO maintains compliance with all other national policy requirements, including:

- ASQA Regulatory Guidance, and
- NCVET Guidelines.

The organisation supports personnel to understand the components of the *Standards for RTOs* and all regulatory requirements, as in force from time to time, which are relevant to each team members' role within the organisation.

Australian Qualifications Framework

The *Australian Qualifications Framework (AQF)* is the national policy for qualifications in the Australian education and training system. The Celebrant Institute RTO complies with the AQF as a condition of its registration.

The AQF recognises The Celebrant Institute RTO's RTOs as 'authorised issuing organisations', able to issue AQF qualifications and statements of attainment to students that have satisfied the relevant competency requirements.

AQF Recognition

One of the most important features of the *VET Quality Framework* is the recognition of training organisations and AQF qualifications, including Statements of Attainment.

The Celebrant Institute RTO accepts testamurs issued by another registered training organisation and ensures that all Certificates and Statements of Attainment issued by any other registered training organisation are accepted as valid.

A testamur may be a Statement of Attainment for specific topics or units of competency, or it may be a complete Qualification such as certificate or diploma.

Unique Student Identifier

The Celebrant Institute RTO ensures that it handles individual's personal information in accordance with the requirements of the *Privacy Act 1988 (Cth)* and the *Student Identifiers Act 2014 (Cth)*. Please refer to the **Privacy Policy** for further information.

The Celebrant Institute RTO applies has published on its website information for clients on how to obtain a student Identifier.

The Celebrant Institute RTO ensures the security of USIs and all related documentation under its control, including information stored in its student management system. Where The Celebrant Institute RTO has contracts with third parties under which it discloses information collected for the purposes of the *Student Identifiers Act 2014 (Cth)*, The Celebrant Institute RTO ensures that any personal information is treated in accordance with the *Privacy Act 1988 (Cth)* and the *Student Identifiers Act 2014 (Cth)*.

The Celebrant Institute RTO verifies students' USI's at the time of enrolment.

The Celebrant Institute RTO only issues a qualification or statement of attainment to a student after the student has provided their verified USI or The Celebrant Institute RTO has applied for a USI on their behalf.

Quality Indicators

The national Quality Indicators have been designed to help RTOs conduct evidence-based and outcomes-focused continuous quality improvement and assist ASQA and other government authorities to assess the risk of a RTOs' operations.

Under the VET Quality Framework, The Celebrant Institute RTO is required to collect and use data on the Quality Indicators.

Legislative Compliance

The Celebrant Institute RTO ensures it complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. The Celebrant Institute RTO is subject to a variety of legislation related to training and assessment, as well as general business practice.

This includes, but is not limited to, compliance with:

- The *National Vocational Education and Training Regulator Act 2011 (Cth)*, and the legislative instruments it enables,
- *Higher Education Support Act 2003 (Cth)*,

- Workplace health and safety legislation and regulations,
- Anti-discrimination legislation and regulations, and
- Consumer protection requirements.

The Celebrant Institute RTO ensures its personnel and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered, through internal communication activities.

All The Celebrant Institute RTO personnel hold an awareness and understanding of the legislation relevant to their position. If uncertain as to the application of any piece of legislation to a specific action or transaction, relevant personnel must seek clarification from their relevant The Celebrant Institute RTO manager.

A list of relevant industry legislation involved in each service delivered by The Celebrant Institute RTO is maintained in the individual Training and Assessment Strategy for each training product. Legislative needs noted in strategies are then implemented throughout all resource materials used in services provision.

All Australian legislation is accessible through the following website: www.austlii.edu.au

VET Specific Legislation

Current legislation that effects The Celebrant Institute RTO operations as a RTO includes, but is not limited to:

- *National Vocational Education & Training Regulator Act 2011 (Cth)*,
- *Standards for Registered Training Organisations 2015 (Cth)*,
- *Skilling Australia's Workforce Act 2005 (Cth)*,
- *Education Services for Overseas Students Act 2000 (Cth)*,
- *Training and Tertiary Education Act 2003 (ACT)*,
- *Vocational Education and Training Act 2011 (NSW)*,
- *Apprenticeship and Traineeship Act 2001 (NSW)*,
- *Training & Skills Development Act 2016 (NT)*,
- *Further Education and Training Act 2014 (QLD)*,
- *Skills Act 2021 (SA)*,
- *Training and Workforce Development Act 2013 (TAS)*,
- *Education and Training Reform (Skills) Act 2010 (VIC)*, and
- *Vocational Education and Training Act 1996 (WA)*.

Non-Compliance, Enforcement and Penalties

Enforcement

The national vocational education and training system sets clear expectations—through legislation, standards and requirements—for RTOs to take responsibility for the quality of their qualifications and services.

From time-to-time ASQA may identify instances of non-compliance, and if these are not rectified within a stated period, The Celebrant Institute RTO may attract a sanction or penalty. ASQA's enforcement powers include a range of sanctions. In addition, ASQA may seek a civil penalty order from the Federal Court of Australia, or the Federal Magistrates Court.

Sanctions

ASQA has enforcement powers applicable to breaches of the *National Vocational Education and Training Regulator Act 2011 (Cth)*. The Act provides a range of sanctions of increasing severity, escalating from enforceable undertakings and additional conditions on registration through to suspending or cancelling the registration of an RTO. ASQA applies these powers and sanctions with proportion, rigour, fairness and consistency.

Types of Sanction

ASQA may:

- Amend or shorten registration or accreditation,
- Impose conditions on a registration or an accreditation,
- Issue directions under the legislation for an organisation to take specific steps or refrain from doing certain things,
- Suspend or cancel registration or accreditation,
- Issue infringement notices as an alternative to prosecution, and
- Prosecute organisations that breach the legislation.

Reviewable Decisions

Decisions of ASQA may be reviewable if the sanction is:

- A cancellation of registration,
- A suspension of part or all of scope of registration,
- A shortening of the registration period, or
- An amendment to scope of registration.

RTOs may apply to the Administrative Review Tribunal (ART) for review of an ASQA decision in certain circumstances. The ART provides an independent review of a wide range of administrative decisions made by Australian government agencies.

Prosecution

ASQA may apply for a civil penalty in conjunction with other enforcement options. Prosecution may occur if ASQA is satisfied that there is sufficient, admissible and reliable evidence that an offence under the *National Vocational Education and Training Regulator Act 2011* (Cth) has been committed, and that it is in the public interest to proceed.

ASQA may seek a civil penalty order from the Federal Court of Australia or the Federal Magistrates Court. Civil penalties are set out in the *National Vocational Education and Training Regulator Act 2011*.

State Jurisdictions and Contractual Requirements

All The Celebrant Institute RTO personnel are aware that, in addition to national requirements, various state jurisdiction legislative requirements and funding contract requirements may impose various penalties on The Celebrant Institute RTO for non-compliant activities.

The Celebrant Institute RTO Position

All The Celebrant Institute RTO personnel are aware the *National Vocational Education and Training Regulator Act 2011* and various state VET legislation across jurisdictions provides for financial penalties (fines) to be levied to individual personnel in cases of serious breaches of compliance. Any regulatory fines, should they be levied, are the responsibility of the individual The Celebrant Institute RTO representative concerned.

The Celebrant Institute RTO has implemented a robust communications framework across its operations to ensure that all facets of business and operational management are visible and effectively managed.

Monitoring and Evaluation

The Celebrant Institute RTO monitors and evaluates management processes to ensure effective operational management and communications.

A process of performance monitoring, evaluation, and reporting has been established and implemented.

The organisation continually improves the effectiveness and efficiency of processes. Process performance and outcomes are regularly audited to identify and remove causes of existing and potential problems, as well as to uncover any opportunities for improvement.

Please refer to the **Quality Policy** for further information on the monitoring and evaluation process.

Version History

Date of issue	Version	Author	Notes
30/06/2026	1.0	Sarah Aird	Final after contextualising from VETR version

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