

# **QUALITY ASSURANCE SYSTEMS**

## **ALIGNMENT WITH REGULATORY STANDARDS AND LEGISLATION**



## PURPOSE

This document outlines the policies and procedures that form the Quality Assurance System for Apprenticeships Are Us Ltd (ARU). It serves to:

- Ensure compliance with relevant legislation, regulations, and standards, including:
  - i. National Standards for Group Training Organisations (GTOs)
  - ii. Australian Charities and Not-for-Profits Commission (ACNC) Governance Standards
  - iii. Corporations Act 2001 (Cth)
  - iv. Fair Work Act 2009 (Cth)
  - v. Work Health and Safety Act 2011 (Cth & State/Territory Variants)
  - vi. Privacy Act 1988 (Cth)
  - vii. Modern Slavery Act 2018 (Cth)
- Establish governance structures that ensure ethical, transparent, and responsible decision-making.
- Support workplace health, safety, and wellbeing for apprentices, employees, and stakeholders.
- Ensure financial accountability and risk management.
- Provide clear guidance on dispute resolution, grievance handling, and whistleblower protections.
- Align operational practices with best practices in the vocational education and training (VET) sector.

This document acts as a reference for ARU's Board, management, and staff to maintain high-quality apprenticeship services while adhering to regulatory and compliance obligations. This document operates as a controlled compliance artefact within Apprenticeships Are Us Ltd's Quality Assurance Framework. It is subject to ARU Board oversight, scheduled review, and continuous improvement processes, and is relied upon as primary evidence during regulatory audits, ACNC reviews, and internal governance assurance activities.

## INTRODUCTION

Apprenticeships Are Us Ltd (ARU) ensures compliance with multiple regulatory frameworks, including:

- National Standards for Group Training Organisations (GTOs)
- Australian Charities and Not-for-Profits Commission (ACNC) Governance Standards
- Corporations Act 2001 (Cth)
- Fair Work Act 2009 (Cth)
- Work Health and Safety Act 2011 (Cth & State/Territory Variants)

- Privacy Act 1988 (Cth)
- Modern Slavery Act 2018 (Cth)

Compliance with these frameworks is maintained through documented policies, delegated authorities, ARU Board oversight, internal compliance reviews, and operational controls applied consistently across all jurisdictions in which ARU operates. Where state or territory legislative variations apply, ARU adopts the higher compliance threshold.

The following policies and procedures contribute to ARU's Quality Assurance System, ensuring ethical governance, operational efficiency, apprentice wellbeing, and compliance with legal requirements. Compliance with these frameworks is maintained through documented policies, delegated authorities, ARU Board oversight, internal audits, and operational controls applied consistently across all jurisdictions in which ARU operates. Where state or territory legislative variations apply, ARU adopts the higher compliance threshold.

## **GOVERNANCE AND CORPORATE COMPLIANCE**

### **BOARD AND CORPORATE GOVERNANCE POLICIES**

These policies collectively support directors in meeting their statutory and fiduciary duties under sections 180–184 of the Corporations Act 2001 (Cth), and ACNC Governance Standard 5:

- Board Attendance Policy – Supports accountability and compliance with Corporations Act 2001 (Cth).
- Board Confidentiality Policy – Ensures data security per Privacy Act 1988 (Cth) and ACNC governance requirements.
- Board Dispute Resolution Policy – Aligns with National Standard 1: Governance and Administrative Arrangements.
- Board Induction Checklist – Ensures compliance with ACNC Governance Standard 5.
- Board Recruitment Policy – Supports transparent ARU Board appointments under the Corporations Act.
- Circular Resolution Policy – Facilitates decision-making in accordance with Corporations Act 2001 (Cth) s 248A.
- Corporate Governance Charter – Aligns with National Standard 1 and ACNC Standard 3.
- Corporate Governance Statement – Demonstrates compliance with ACNC Standard 2.
- Duty to Notify the ACNC – Fulfills obligations under ACNC Act 2012 (Cth).
- Financial Viability Policy – Supports compliance with National Standard 2: Financial and Administrative Arrangements.
- Independent Audit Policy – Ensures accountability in line with ACNC Act 2012 and ATO regulations.

- Investment Planning Policy – Aligns with fiduciary duties under the Corporations Act 2001 (Cth).
- Related Party Transaction Policy – Prevents conflicts of interest under Corporations Act 2001 (Cth) s 195.
- Risk Management Policy – Supports compliance with National Standard 3: Risk Management.
- Transparency and Accountability Policy – Ensures stakeholder engagement per ACNC Standard 2.
- ACNC Information for ARU Directors – Educates directors on obligations under ACNC governance standards.

These policies also support compliance with ACNC Governance Standards relating to conflicts of interest, decision-making integrity, and responsible persons.

## **WORKPLACE COMPLIANCE AND ETHICS**

### **POLICIES ENSURING ETHICAL CONDUCT AND FAIR WORK PRACTICES**

- Acceptable Use of Electronic Media Policy – Complies with Privacy Act 1988 (Cth) and Cyber Security Frameworks.
- Affirmative Action Policy – Supports compliance with Fair Work Act 2009 (Cth) and Equal Opportunity Legislation.
- Anti-Bribery Policy – Meets requirements under Criminal Code Act 1995 (Cth) and ASIC Guidelines.
- Bullying and Harassment Policy – Aligns with Fair Work Act 2009 (Cth) and WHS Act 2011.
- Code of Ethics – Supports National Standard 4: Ethical Conduct.
- Code of Practice – Aligns with National Standards for GTOs and WHS Regulations.
- Grievance Handling Policy – Meets Fair Work Act 2009 (Cth) dispute resolution requirements.
- Indigenous Employment Policy Statement – Supports Closing the Gap initiatives and Equal Opportunity Legislation.
- Management of Conflict of Interest – Ensures compliance with Corporations Act 2001 (Cth) s 191.
- Modern Slavery Statement – Required under Modern Slavery Act 2018 (Cth).
- Multiculturalism Policy – Aligns with Racial Discrimination Act 1975 (Cth).
- Privacy Policy – Ensures compliance with the Privacy Act 1988 (Cth).
- Significant Event Notification Policy – Supports ACNC Standard 4 and reporting obligations.
- Whistleblower Policy – Complies with Corporations Act 2001 (Cth) Part 9.4AAA.

Breaches of these policies are managed through formal investigation, corrective action, and where required, disciplinary processes in accordance with the Fair Work Act 2009 (Cth), WHS legislation, and ARU's internal escalation and reporting frameworks.

## **APPRENTICESHIP MANAGEMENT AND COMPLIANCE POLICIES SUPPORTING APPRENTICESHIP SUCCESS AND COMPLIANCE**

These policies provide documented evidence of ARU's compliance with National Standard 5, including monitoring records, support interventions, employer engagement, and apprentice welfare outcomes.

- Apprenticeship Monitoring Statement – Ensures National Standard 5: Monitoring and Supporting Apprentices.
- Complaints Handling Policy – Complies with Fair Work Ombudsman guidelines and National Standard 4.
- Procedures for Suspending an Apprentice/Trainee – Aligns with National Training Contract Regulations.
- Training Plan Guidelines for Employees – Supports Standards for RTOs 2015. This includes clear delineation of responsibilities between ARU as the legal employer, host employers, and Registered Training Organisations (RTOs).
- Time in Lieu Policy – Meets Fair Work Act 2009 (Cth) provisions on overtime and leave.

## **HEALTH, SAFETY, AND WELLBEING POLICIES ENSURING A SAFE AND SUPPORTIVE WORKPLACE**

- Child Safety Policy, Procedures, and Statement – Complies with National Child Safe Principles and WHS Act 2011.
- Constitution for the Work Health and Safety (WHS) Committee – Aligns with WHS Act 2011 and National Standard 3.
- Cyber Security Policy – Ensures compliance with Privacy Act 1988 (Cth) and Cyber Security Frameworks. This policy also supports compliance with the Australian Privacy Principles under the Privacy Act 1988 (Cth) through technical and organisational safeguards.
- Environmental Sustainability Policy – Supports Environmental Protection and Biodiversity Conservation Act 1999 (Cth).
- Financial Delegations Policy – Complies with Corporations Act 2001 (Cth) and ASIC governance guidelines.
- Financial Management Policy – Aligns with National Standard 2: Financial Management.

- Mental Health and Wellbeing Policy – Supports Work Health and Safety Act 2011 (Cth) psychological safety provisions. This includes psychosocial hazard identification, risk assessment, and control measures in accordance with Work Health and Safety Regulations.
- Performance Management Policy – Aligns with Fair Work Act 2009 (Cth) and HR best practices.
- Work, Health and Safety (WHS) Policy – Ensures compliance with Work Health and Safety Act 2011.

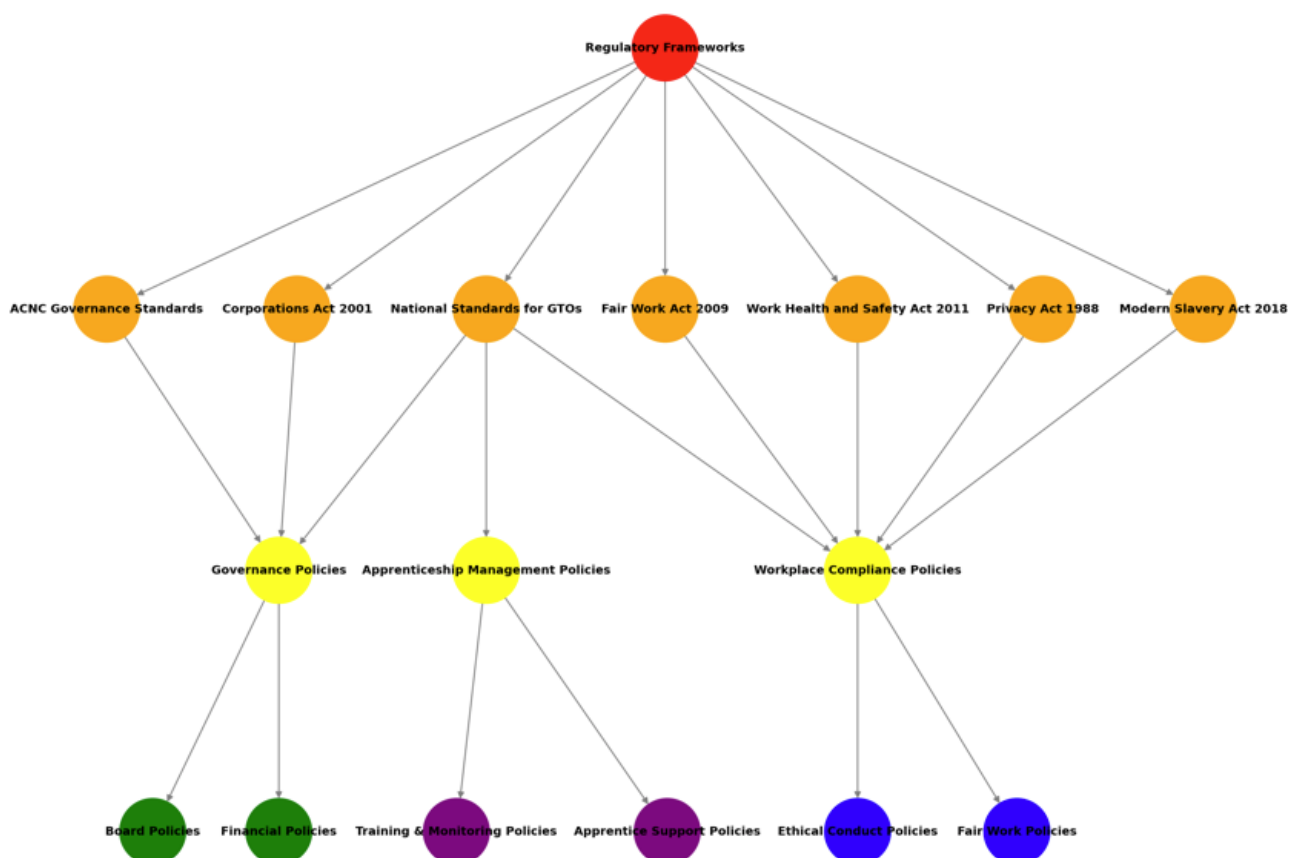
## **BOARD COMPLIANCE AND PRE-APPOINTMENT PROCEDURES**

### **POLICIES GOVERNING BOARD APPOINTMENTS AND RESPONSIBILITIES**

These procedures ensure that all directors and responsible persons are appointed, inducted, and monitored in accordance with ACNC Governance Standards, Corporations Act requirements, and recognised best-practice not-for-profit governance principles.

- ARU Risk Register – Complies with National Standard 3: Risk Management.
- Board Pre-Appointment Checklist – Ensures governance compliance under the Corporations Act.
- Charity Letter of Appointment – Fulfills ACNC governance requirements.
- Charity Letter of Pre-Appointment – Supports ACNC Standard 5: Responsible Persons.
- Declaration for Responsible Persons – Meets ACNC’s responsible person criteria.
- Director Application – Ensures transparent recruitment per Corporations Act 2001 (Cth).
- Internal Compliance Checklist – ARU Board Pre-Appointment & Induction – Ensures ACNC compliance.
- Non-Disclosure Agreement (NDA) – Complies with Privacy Act 1988 (Cth) and Corporations Act.
- ARU Policies and Procedures – Consolidates all governance policies to meet National Standard 1.

## Structured Flowchart: Linkages Between Policies and Regulatory Frameworks



These policies ensure Apprenticeships Are Us Ltd meets all National Standards for GTOs, ACNC governance standards, and relevant legislation, ensuring ethical governance, risk management, and apprentice success.

## AUTHORISATION

*Authorised under delegated authority of the ARU Board.*

Michael Wentworth

**Managing Director**

Apprenticeships Are Us Limited

## DOCUMENT CONTROL

Version	Authorised by	Authorisation Date	Sections	Amendment
1.1	M. Wentworth	10/10/2022	All	N/A
1.2	M. Wentworth	01/10/2024	All	Cover page, minor information update
1.3	M. Wentworth	16/01/2026	All	Information update