

# Interactions with National VET Regulator Policy & Procedure

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## 1. Policy

- 1.1 Gippsland Institute of Technology employs an effective policy and procedure to ensure it interacts with the regulator when required.
- 1.2 The CEO is responsible for implementing this policy and reviewing its effectiveness in compliance with regulatory guidelines.
- 1.3 Gippsland Institute of Technology confirms that it will cooperate with all external audits conducted by the National VET Regulator and its representatives.
- 1.4 Gippsland Institute of Technology facilitates monitoring activities carried out by the National VET Regulator.
- 1.5 Gippsland Institute of Technology provides data to the National VET Regulator in the required format and as and when required.
- 1.6 Gippsland Institute of Technology provides information about significant changes to its operations to the National Regulator as and when required
- 1.7 Records are retained and archived and a mechanism for retrieval/ transfer is employed that is consistent with National VET Regulator the requirements.
- 1.8 This policy and procedure is implemented in compliance with the requirements of the Standards for Registered Training Organisations (RTOs) 2015 Standard 8.
- 1.9 Records of fees paid are maintained on accounting software in compliance with the Financial Management policy and procedure.
- 1.10 All client and staff files are confidential, and documents kept in accordance with the Privacy policy and procedure.
- 1.11 All records are maintained in compliance with the Records Management policy and procedure.
- 1.12 Currency of documentation is managed through our Version Control policy and procedure.

## Procedure

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- 2.1 At the time of audit Gippsland Institute of Technology will make available all required documentation as requested by the auditor. This includes all documentation, financial information, premises, materials, resources, equipment along with access to staff and clients as required to operate in compliance with the Standards for Registered Training Organisations (RTOs) 2015.
- 2.2 Gippsland Institute of Technology advises the National VET Regulator of any substantial changes to its operations that may impact the RTO's ability to comply with the Standards for RTO's 2015 within 90 calendar days of the change occurring using the nationally standard forms as located online at <http://www.asqa.gov.au>. Documentation is submitted in the required format and within the prescribed timeframe.
- 2.3 Gippsland Institute of Technology will inform the National VET Regulator of its intention to relocate or open new premises at least 20 working days prior to relocating/ opening using the standard forms as located online at <http://www.asqa.gov.au>
- 2.4 Gippsland Institute of Technology will inform all staff and clients of its intention to relocate/ open new premises as soon as possible after the decision to relocate/ open new premises.
- 2.5 Clients who have enrolled prior to the relocation/ opening new premises will be given the option of cancelling their enrolment if they do not wish to study at the new premises. A full refund of monies paid will be provided to clients in such circumstances.

- 2.6 The National VET Regulator is advised of any prospective changes in ownership of the organisation by the Chief Executive Officer in writing. This notification is made as soon as the Chief Executive Officer is aware that the changes are going to take place and within 90 calendar days of the change taking place. Gippsland Institute of Technology will also notify ASQA within 90 days of changes to the following:
- Chief Executive Officer or changes to high managerial agents
  - 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
  - any other significant event.
- 2.7 The National VET Regulator is advised in writing immediately by the CEO using the mandated forms if changes to the RTO contact details are made.
- 2.8 High managerial agents include the CEO or Training Manager.
- 2.9 Gippsland Institute of Technology will apply to the National VET Regulator if it wishes to increase its approved capacity (if relevant to operations) using the standard forms as located online at <http://www.asqa.gov.au>. Approval will be sought prior to increasing client numbers above this amount.
- 2.10 Gippsland Institute of Technology will apply to the National VET Regulator if it wishes to make amendments to its Scope of Registration using the standard forms as located online at <http://www.asqa.gov.au>. Approval will be sought prior to enrolling clients in, or marketing any proposed courses.
- 2.11 Gippsland Institute of Technology employs Continuous Improvement policy and procedure in accordance with the requirements of the Standards for Registered Training Organisations (RTOs) 2015 for the collection and analysis of data relevant to measure its performance. The data is provided to the National VET Regulator in accordance with requirements.
- 2.12 Gippsland Institute of Technology employs a Records management policy and procedure for its retention, archiving and retrieval and transfer of records consistent with the requirements of the Standards for Registered Training Organisations (RTOs) 2015 requirements. The required performance data is provided to the National VET Regulator in accordance with requirements. Gippsland Institute of Technology collects AVETMISS information through our enrolment form and stores it on the SMS. Unique student identifier data will also be collected and stored as part of this process. AVETMISS details are stored for a period of 30 years.

If requested, Gippsland Institute of Technology will provide ASQA with the following types of information about the RTO:

- business registration records e.g. Australian Securities and Investments Commission (ASIC) reports
- information demonstrating that the organisation satisfies the Financial Viability Risk Assessment Requirements
- information demonstrating relevant people associated with the organisation satisfy the Fit and Proper Person Requirements
- information on strategies, resources and other materials used to conduct training and assessment
- documents demonstrating trainer and assessor credentials
- information about delivery operations such as modes, venues, funding, student types and activity conducted
- evidence about record management systems
- public liability insurance coverage
- the names of current or past students, who may be surveyed about satisfaction levels, and

- any other information required to demonstrate compliance with the VET Quality Framework.
- 2.13 Gippsland Institute of Technology employs a financial management policy and procedure for its retention, archiving and retrieval and transfer of financial records consistent with the requirements of the Standards for Registered Training Organisations (RTOs) 2015.
- 2.13b Gippsland Institute of Technology will provide all the required information to the Standards for Registered Training Organisations (RTOs) 2015 or agent for an assessment of financial viability pre and post registration as required. All financial data will be supported by source documentation to verify the data, notes and assumptions.
- 2.13c Financial data will be submitted in the required format in accordance with Australian Accounting Standards and/ or as requested by the Standards for Registered Training Organisations (RTOs) 2015 or agent.
- 2.14 Gippsland Institute of Technology employs a Version Control policy and procedure to ensure currency and accuracy of all documentation.
- 2.15 Gippsland Institute of Technology facilitates the auditing of its operations, documentation, staff practices and any other process or documentation by the National VET Regulator or agents.
- 2.16 Gippsland Institute of Technology fully co-operates with the National VET Regulator during the auditing process. Gippsland Institute of Technology cooperates:
- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
  - b) in the conduct of audits and the monitoring of its operations.
- 2.17 Gippsland Institute of Technology takes appropriate remedial action within agreed timelines on all areas of non-compliance identified in audits undertaken by the National VET Regulator or agents. Action plans are developed, implemented and submitted to the National VET Regulator during this process.
- 2.18 Gippsland Institute of Technology provides access to insurance documentation/ certification to the National VET Regulator on request.
- 2.19 Gippsland Institute of Technology will immediately notify National VET Regulator in the event it becomes insolvent.
- 2.20 Gippsland Institute of Technology will submit the required data to the National VET Regulator or agents in the required format when requested.
- 2.21 Gippsland Institute of Technology will retain client records of attainment of units of competency and qualifications for a period of 30 years even if it ceases operations and transfer this information to the regulator on request (free of charge and in the format requested).
- 2.22 Gippsland Institute of Technology implements a written agreement with a third party (in accordance with the Arrangements With Other Providers policy and procedure) delivering services on its behalf to ensure cooperation with the VET Regulator:
- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
  - b) in the conduct of audits and the monitoring of its operations.
- 2.23 Gippsland Institute of Technology notifies the Regulator:
- a) of any written agreement entered into with a third party 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.



2.24 Gippsland Institute of Technology provides an annual declaration on compliance with the Standards for Registered Training Organisations 2015 to the VET Regulator and in particular whether it:

- a) 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
- 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.

2.25 Written notification is sent by e-mail or pre-paid post.

2.26 Written notification is sent to the nominated source for notifications.

2.27 All notifications are sent and authorised by the CEO.

### **Documents to be employed when implementing this policy and procedure:**

- Financial management policy and procedure & records
- Records management policy and procedure & records
- Version control policy and procedure
- Continuous Improvement policy and procedure
- ASQA forms from [www.asqa.gov.au](http://www.asqa.gov.au)
- Internal audit documentation
- All records requested by the National VET Regulator
- SMS
- AQTF employer and client questionnaires
- Competency completion records
- Ownership documents
- Insurance documents
- National VET Regulator forms
- Improvement plans
- Client files
- Assessment records

### **Revision history**

Creation/ Revision Date	Comment	Created/ Revised by
21/8/20	Policy and procedure created	CEO