

Registered Training Organisation (RTO) Compliance Procedures

1. Associated Policy

These Registered Training Organisation (RTO) Compliance Procedures have been developed in conjunction with the Registered Training Organisation (RTO) Compliance Policy and the CIT Compliance Framework

2. Introduction

CIT must meet the requirements of the following regulatory bodies and Standards for registered training organisations

- x [Standards for Registered Training Organisations \(RTOs\) 2015](#)
- x [National Vocational Education and Training Regulator Act \(NVETRA\)](#)
- x [Australian Skills Quality Authority \(ASQA\)](#)
- x [ELICOS Standards and the Education Services for Overseas Students \(ESOS\) National Code](#)
- x [ACT Vocational Education and Training \(VET\) Quality Framework](#)

These procedures provide additional clarification and guidance for consistency of application of these legislative and regulatory requirements across CIT, as well as procedural steps where appropriate to support the Registered Training Organisation (RTO) Compliance Policy.

3. Procedures

3.1. Roles and Responsibilities

Roles	Responsibilities
Board Members	Upon initial appointment complete an ASQA Fit and Proper Person Declaration Monitor Compliance Obligations
Executive Management Committee	

<p>Executive Director, Education Futures and Students</p>	<p>Approve all changes to Scope of Registration or delegate such to Executive Director, Education Futures and Students</p> <p>Approve responses to ASQA requests for information and compliance assessments</p> <p>Notify relevant committees of relevant compliance related activities</p> <p>Provide an Annual Declaration of Compliance to ASQA</p> <p>Provide the Quality Indicator (QI) Summary to ASQA by 30 June each calendar year for the previous year</p> <p>Act as Accountable Executive for CRICOS R >>BDgb A C2.7 (ted)5.6</p>
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Manager, Awards and Programs	<p>Coordinate the following activities and maintain appropriate records:</p> <ul style="list-style-type: none"> x Scope of Registration changes including addition, amendment and deletion x ASQA Requests for Information x Minor updates to registration details (i.e. enquiries, email, phone) x Submission of changes to scope of registration on ASQANet on behalf of the Student Experience Lead
Director, Governance	Coordinate the compilation of the ASQA Fit and Proper Person Declarations for Board members upon initial appointment and in preparation for a registration renewal application
International Student Operations	Coordinate and maintain appropriate records for the registration of recruitment agents at third parties in ASQANet
Manager, Surveys and Data	<p>Conduct VET Student Experience Survey (VES) and Employer Experience Survey (EES) once a year and provide a report to the CEO to submit to ASQA</p> <p>Submit AVETMISS data once approved</p>
All staff	Notify any identified or suspected Reportable Occurrence that is

- x Events that would affect the fit and proper status of Council members or key senior staff e.g. Party to a civil or criminal action before court or proceedings before a professionally registration/licensing body or subject of an inquiry or investigation of a government department, regulatory body or former employer that could reasonably raise an expectation of interference with public duties;
- x Changes that may impact on financial viability such as significant changes to the provider's existing, new or anticipated revenue sources or the appointment of an external administrator, liquidator or receiver;
- x New arrangements to deliver a course of study in whole, or in part, through a third party (onshore or offshore)
- x Significant issues arising from a third part arrangement or arrangements such as failures of the control and reporting systems in place to monitor third party delivery or failures on the part of the third party to ensure that course delivery meets relevant regulatory requirements;
- x Any events that may have a significant impact on students, including:
 - o Addition or removal of training products;
 - o Changes in course delivery sites including new delivery sites;
 - o A change or lapse in professional accreditation status of a course;
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- a) The Executive Branch Manager, Audit, Risk and Corporate Governance will communicate changes to the Standards or ASQA materials to the relevant business areas.
- b) The Senior Education leader will communicate changes and their impacts relating to any assessment and training standard or ASQA material to all educators and other relevant staff.
- c) All changes will also be communicated via the CIT Newsfeed.

3.13. Notification of a Breach

- a) Where an incident of non-compliance with a practice or procedure is identified, the breach must be reported to the relevant Compliance Officer within the business area.
- b) The notification must include date of identification, description of the breach, and rectification actions
- c) Where there are multiple breaches identified relating to a program, an audit will be enacted to determine if the program should be permitted to continue and the impact on students.
- d) Non-compliance with a Standard or SOA must be reported to the Executive Branch Manager, Audit, Risk and Corporate Governance for consideration under the Compliance Framework.

Schedule 1

Type of Material Change Notification	Documentation Required for ASQANet