

INTERACTIONS WITH THE VET REGULATORS

1. PURPOSE

- 1.1. This policy outlines the requirements for interactions between ICCC and the relevant VET regulators, ensuring compliance with the National standards and accountability in our operations.
- 1.2. ICCC must comply with relevant Commonwealth, state, or territory legislation and regulatory requirements, and staff must be informed of legislative and regulatory obligations related to vocational education and training.

2. SCOPE

- 2.1. In this Policy, “Company” or “ICCC” refers to International Child Care College Pty Ltd.
- 2.2. This Policy applies to all employees of International Child Care College; collectively referred to as [‘employees’].

3. REGULAR AND IRREGULAR INTERACTIONS

- 3.1. ICCC interacts with relevant VET regulators as part of normal operating procedures as well as when significant events trigger irregular interactions with the VET regulators.
- 3.2. Regular interactions are triggered by a date range requirement such as data submission or other scheduled events.
- 3.3. Irregular interactions are often triggered by a significant change in RTO operations, ownership, senior management, or as a result of a complaint or audit response.
- 3.4. Following a regular or irregular event triggering interaction with the VET regulators, ICCC will collate the required information, review the collected information, and submit the required information in the appropriate format.

4. REGULAR OPERATIONAL INTERACTIONS

4.1. RTO Governance

- Proof of legal entity
- Financial viability risk assessment information (refer to Financial Management Policy)
- Business Name Registration Certificate
- Australian Business Number (ABN)
- Address and contact details
- Fit and Proper Person information
- Information to demonstrate compliance with NVR RTO standards

4.2. Activity Reporting (Accurate and timely data submission)

- ICCC provides regular submission of Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data in addition to annual Total VET Activity reporting at least once per year, prior to the January deadline.

4.3. Annual Declaration of Compliance

- Following an internal review and moderation of procedural evidence, ICCC provides a summary declaration of compliance to the National regulator detailing any non-

compliances identified during the moderation process. This must be submitted prior to the February deadline.

4.4. Quality Indicator Survey Responses

- ICCC surveys all students on completion of training to gather feedback on our student-centered approach to training. This feedback is collated and analyzed for continuous improvement opportunities and forms part of the summary report provided to the National regulator.
- This report must be submitted prior to the June deadline.

4.5. Payment of Annual Registration Fees

- ICCC pays annual registration fees on receipt of ASQA invoice.

5. IRREGULAR OPERATIONAL INTERACTIONS

5.1. Audits and Monitoring of Operations

- The CEO acts as the designated point of contact during the National VET Regulator audits and monitoring activities. The General Manager coordinates the preparation for external audits and ensures all documentary evidence and access to staff are provided to support the conduct of the audit. The General Manager also coordinates the response to any request for information or corrective action as a result of a compliance audit.

5.2. Significant Changes to Operations

- The CEO is responsible for reporting significant changes to operations to the National VET Regulator as soon as practicable after they happen (preferably within 20 working days) and without being requested to do so. ICCC notifies the National VET Regulator by completing the RTO notification of material change or event form available from the ASQA website.

5.3. Change of Legal Entity: Notify the National VET Regulator in writing of any proposed change to the legal entity. The change of legal entity also requires ICCC to apply for registration under its new entity.

5.4. Change of Ownership: Notify the National VET Regulator in writing immediately and submit the RTO notification of material change or event form together with a historical company extract showing the new shareholding arrangements.

5.5. Change of Legal Name: Notify the National VET Regulator in writing immediately and submit the RTO notification of material change or event form together with a copy of the relevant certificate of business name registration or ASIC registration certificate.

5.6. Change of Trading Name: Notify the National VET Regulator immediately using the RTO notification of material change or event form and provide the relevant certificate of business name registration.

5.7. Changes to Legally Responsible Person: Nominate a new legally responsible person and advise the National VET Regulator in writing. Complete the RTO notification of material change or event form and submit this with a signed Change of CEO Statutory Declaration and a Fit and Proper Person Declaration.

5.8. Financial Viability and/or Financial Projections: Ensure financial accounts are certified by a certified practising accountant annually. Maintain accurate business and financial plans with realistic financial projections. These documents are to be made available on request to the National VET Regulator. Notify the National VET Regulator immediately if there are significant changes to financial viability, including:

- Net tangible assets fall below 2% of revenue

- Working capital falls below 2.5% of revenue
- Debt ratio is greater than 1.00
- Profitability falls below 0%
- Change in financial guarantor arrangements
- Change in mechanisms for securing student fees paid in advance

5.9. Cease to Operate

- Ensure suitable arrangements to provide records of student outcomes to the National VET Regulator if ICCC ceases to operate. Provide an AVETMISS report encompassing all activity data for the duration of ICCC operation. If circumstances prevent ICCC from continuing operations (death, liquidation, bankruptcy), advise the National VET Regulator immediately and provide advice regarding the impact on currently enrolled students. Facilitate the transfer of enrolments to another RTO with minimal disruption, issue refunds for services not provided, and issue Statements of Attainment based on completed units of competence.

5.10. Business Sale

- **Notification of Sale Agreement**

- i. The CEO must notify the National VET Regulator immediately once the sale agreement has been finalized. ICCC must also formally notify the buying entity that the Certificate of Registration is not transferable, and they must immediately apply for registration (assuming they are not already an RTO). If the buying organization is already an RTO, they will be required to apply to the National VET Regulator to extend their scope of registration to include new items on scope.

- **Obligations to Students**

- i. ICCC has a responsibility to continue meeting its obligations to students until the new entity is fully established with RTO registration. This includes ensuring that students' training and assessment services are not disrupted during the transition period.

- **Completion of Sale Transfer**

- i. Once the sale transfer is complete, ICCC must advise the National VET Regulator of the completed transaction and return the Certificate of Registration to the National VET Regulator.

6. COMPLIANCE

6.1. ICCC seeks and encourages the commitment of all employees regarding this Policy and is dedicated to ensuring that all employees are aware of and understand all elements of this Policy, and any associated policies and procedures.

6.2. Employees must comply with the requirements of this Policy. Any breach of this Policy may result in disciplinary action including, but not limited to, termination of employment.

7. REVISION HISTORY

Rev	Date	Revision Description	Name
V1	6/03/2023	Initial Policy	ICCC HR

V2	02/03/2025	Updates to reflect Revised Standards	KC
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