

INTERACTION WITH THE NATIONAL VET REGULATOR (NVR) POLICY

1. Purpose

- 1.1 This document applies to the **Innovative Institute of Australia**, its courses, its clients (students), and its controlled entities (collectively, "IIA", "Institute", "the Institute", "we", "us", "our").
- 1.2 The purpose of this policy is to
- i. Define the situations in which Insert Institute Name is required to update the National VET Regulator about changes to its operations.
 - ii. Establish a process for staff to follow when updating the National VET Regulator on changes to its operations.
 - iii. Support Insert Institute Name to comply with its mandatory obligations to keep the National VET Regulator informed of changes to its operation.
- 1.3 This policy is implemented in compliance with the requirements of the Education Services for Overseas Students Act 2000 (the ESOS Act), the Standards for Registered Training Organisations (2025), and the National Code of Practice for Providers of Education and Training to Overseas Students 2018 (the National Code 2018).
- 1.4 In this file, words that import gender include all other genders; the singular 'they' is gender-neutral and used to avoid specifying a person's gender; words in the singular number include the plural and vice versa.
- 1.5 This policy does not affect students' rights under the Australian Consumer Law.
- 1.6 The Institute reserves the right to amend these terms and conditions at any time.
- 1.7 This policy does not affect students' rights under the *Australian Consumer Law*.

2. Definitions

- 2.1 An education agent refers to an entity (in or outside Australia) that

- i. Engages in any of the following activities in relation to a provider:
 - A. The recruitment of overseas students, or intending overseas students;
 - B. providing information, advice or assistance to overseas students, or intending overseas students, in relation to enrolment;
 - C. otherwise dealing with overseas students, or intending overseas students;and
 - ii. is not a permanent full-time or part-time officer or employee of the Institute.
- 2.2 Agent Agreement refers to the agreement between the Institute and the agent, including the schedules.
- 2.3 CRICOS refers to the Commonwealth Register of Institutions and Courses for Overseas Students.
- 2.4 ESOS Act refers to the *Education Services for Overseas Students Act 2000 of the Commonwealth of Australia*.
- 2.5 National Code refers to the *National Code of Practice for Providers of Education and Training to Overseas Students 2018*.
- 2.6 Prospective student/applicant/client refers to a person who intends to become, or who has taken any steps towards becoming, an 'overseas student' or 'intending overseas student' as defined by the *ESOS Act*.
- 2.7 DHA refers to the Department of Home Affairs.
- 2.8 OSHC refers to the Overseas Student Health Cover.
- 2.9 eCoE refers to the electronic Confirmation of Enrolment.
- 2.10 2025 Standards for RTOs refers to the *National Vocational Education and Training Regulator (Outcome Standards for NVR Registered Training Organisations) Instrument 2025*.

3. Policy

- 3.1 **ASQA audits and the monitoring of its operations:** The CEO shall act as the designated point of contact during ASQA audits and monitoring activities. The CEO is to coordinate the preparation for external audits and ensure all documentary evidence and access to staff are provided to support the conduct of the audit. The CEO shall also coordinate the response to any request for information or corrective action arising from a compliance audit.
- 3.2 **Accurate and timely data:** The Data Provision Requirements 2020 are a legislative instrument that outlines the Insert Institute Name's responsibilities to report accurate and timely data (information) to the national VET regulator on request.
- i. Total VET Activity Reporting (AVETMISS reporting).
 - ii. Proof of legal entity, including business name registration certificate, company certificate, ABN registration and company current and historical extract.
 - iii. Financial viability risk assessment declaration and evidence, including the Insert Institute Name business plan, financial plan, details of bank accounts and bank statements;
 - iv. Fit and Proper Person declarations and the CEO declaration.
 - v. Quality indicator data.
 - vi. Annual declaration of compliance.
- 3.3 The CEO is responsible for maintaining this information and for establishing mechanisms to ensure it is available for reporting to ASQA upon request, in accordance with the required reporting timeframes.
- 3.4 Responding to written directions
- i. The National Vocational Education and Training Regulator Act requires the Insert Institute Name to comply with any general directions given by the National VET Regulator, in writing, to organisations on the way in which the VET Quality Framework or other conditions of this Subdivision are to be complied with. Failure by the Insert Institute Name to comply with its conditions of registration

can result in the prosecution of a civil offence for breach of those conditions.

- ii. It is the CEO's responsibility to put in place suitable arrangements to ensure the organisation complies with all written directions. It is also important to ensure that the organisation keeps abreast of changes to any published written directions by monitoring the National VET Regulator website and subscribing to National VET Regulator notifications.
- iii. Where the National VET Regulator issues a written direction to the CEO because of a regulatory event, these must be managed at the highest level and allocated sufficient resources and time to ensure compliance and to maintain evidence of such for review by the National VET Regulator. These actions are to be managed through the regular management meeting and the continuous improvement process.

3.5 Insert Institute Name also acknowledges its obligation to comply with the requirements of the National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020 to provide the following information to the National VET Regulator on request:

- i. Evidence that verifies the legal entity details of Insert Institute Name, including certificate of incorporation, constitution/articles of association, Australian Company Number (ACN), Australian Business Number (ABN), ASIC historical extract, or business name registration certificate.
- ii. Documentation for assessing compliance with Financial Viability Risk Assessment, including financial viability risk assessment spreadsheet, business plan, 2-year financial forecast, and bank statements.
- iii. Evidence that demonstrates the Insert Institute Name type of training organisation (e.g., school, university, community-based education, other).
- iv. Details of physical and postal addresses for the head office, principal place of business, delivery sites, and website.
- v. Names and contact details of executive officers and high managerial agents.

- vi. Contact details for public and registration enquiries.
- vii. Documentation to demonstrate compliance with Fit and Proper Person Requirements.
- viii. Training and assessment strategy per qualification, accredited course, module, and competency unit.
- ix. Evidence verifying trainer and assessor qualifications, vocational competencies, and current industry skills, and supervisory arrangements, for trainers not holding required competencies.
- x. Proof of ongoing access to staff, facilities, equipment, and training materials meeting training package/course and strategy requirements.
- xi. Details of training delivery methods (online, distance, offshore).
- xii. Information regarding current or intended Commonwealth, State, or Territory government funding.
- xiii. Training delivery locations, address and contact information.
- xiv. Location of VET training records and capability to report AVETMISS information.
- xv. Details if fees collected exceed \$1,500.
- xvi. Details on training for students under 18, including working with children checks and relevant policies/procedures.
- xvii. Documentation confirming public liability insurance coverage.
- xviii. Obligation to promptly report events causing non-compliance with Financial Viability or Fit and Proper Person Requirements.

3.6 Updating minor VET registration details: Insert Institute Name must notify the National VET Regulator in writing, as soon as practicable or within 90 calendar days after Insert Institute Name becomes aware of the change to minor VET registration details. This includes if any of the following occur:

- i. Change to head office details.

- ii. Update the contact details for the CEO or high-level managerial agents.
 - iii. Change to general or registration enquiries contacts.
 - iv. Change the contact details for an owner.
 - v. Change to contact details for a non-owner.
 - vi. Change to delivery locations for scope items.
 - vii. Change to delivery states for scope items.
 - viii. Add delivery location(s).
 - ix. Remove delivery location(s).
 - x. Remove scope items from your registration.
- 3.7 Insert Institute Name must proactively provide these notifications to the National VET Regulator as soon as practicable after Insert Institute Name becomes aware of the change to minor VET registration details.
- 3.8 Notification of material changes: Insert Institute Name must notify the National VET Regulator in writing, and as soon as practicable, but no later than 10 business days after Insert Institute Name becomes aware of the matter or otherwise, as soon as practicable before the change takes effect. The Insert Institute Name must proactively provide these notifications to the National VET Regulator no later than 10 business days of becoming aware of the matter. This includes if any of the following occur:
- i. There is a substantial change to its operations or any event that would significantly affect our ability to comply with these standards. This may include changes such as:
 - A. New chief executive officer (CEO) of RTO
 - B. New executive officer/high managerial agent
 - C. Remove executive officer/high managerial agent
 - D. Change to legal name but not legal entity

- E. Change to a legal entity that has registration
- F. Change to financial administration status, for example, bankruptcy or liquidation
- G. Other significant events, such as:
 - a). Information arising that may impact the 'Fit and Proper Person' status of an influential representative of Insert Institute Name;
 - b). commencing or dissolving an arrangement with another organisation to conduct training and/or assessment on Insert Institute Name's behalf;
 - c). Commencement or cessation of offshore delivery;
 - d). significant change to a fundamental funding/revenue source of Insert Institute Name (eg, Government funding contract allocation);
 - e). significant change to Insert Institute Name's business strategy driven by a change to Government policy; or
 - f). commencing delivery to apprentices or trainees employed under a training contract.

- 3.9 There is a Change in ownership and/or control (including sale of business)
- 3.10 There is a change to the name or contact details of a person who exercises a degree of control or influence over the management or direction of Insert Institute Name, or
- 3.11 There are, or are likely to be, other material changes to our RTO's operations, including changes in ownership.
- 3.12 Change in ownership: Insert Institute Name must notify the National VET Regulator in writing of any prospective changes to the ownership of the organisation as soon as practicable before the change takes effect.
- 3.13 Documentary Evidence: In addition to the notification requirements listed in the Procedure Section below, in most circumstances, supporting documentary evidence is also required. The following table provides a guide to this supporting evidence

when making a notification to ASQA:

Updating minor VET registration details – Procedure and evidence requirements

Change	Documentation Required
Change to the address and/or contact details of the RTO's head office	Submit on ASQANet – Change of address details Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Change to head office details”, provide: – New street address – New postal address – New phone number – New website address Confirm and upload the completed Declaration for change of provider details.
Change to the contact details of the CEO or high managerial agents	Submit on ASQANet – Change to contact details for the CEO or high-managerial agents Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Change to contact details of CEO”, provide: – New residential address – New phone number – New mobile number – New email address Confirm and upload the completed Declaration for change of

	provider details.
Change to general or registration enquiries contacts	Submit on ASQANet – Change to general or registration enquiries contacts Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Change to general or registration enquiries contacts”, select from: – Replace the current contact with a new person – Replace the current contact with a new group – Update the existing contact's details Provide complete information, confirm, and upload the completed Declaration for change of provider details.
Change to the contact details for an owner or for a non-owner	Submit on ASQANet – Change to contact details for an owner or for a non-owner Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Change to contact details for an owner or for a non-owner”, select existing owner or for a non-owner and update: – New residential address – New phone number – New mobile number – New email address Confirm and upload the completed Declaration for change of provider details.
Change to delivery	Submit on ASQANet – Change to delivery states for scope items

locations for scope items	Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Change to delivery locations for scope items”, select the scope item and then update from an existing location. Confirm and upload the completed Declaration for change of provider details.
Change to delivery states for scope items	Submit on ASQANet – Change to delivery states for scope items Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Change to delivery states for scope items”, select the scope item and select the state, then update from an existing location or add a new delivery site. Confirm and upload the completed Declaration for change of provider details.
Add delivery location	Submit on ASQANet – Add delivery location Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Add delivery location”, complete the form, including selecting the country of delivery, giving a site name, and providing the address and contact number. Confirm and upload the completed Declaration for change of provider details.
Remove delivery location	Submit on ASQANet – Remove delivery location Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Remove delivery location”, select existing delivery location from the

	dropdown. Note. You will not be able to remove a delivery location that has current scope items allocated to it. First, remove the scope items from the delivery location. Confirm and upload the completed Declaration for change of provider details..
Remove scope items from your registration	Submit on ASQANet – Remove scope items from your registration Log in to ASQANet – Select “Registration” menu item, then select “VET/CRICOS applications”, then select “Update minor VET details and remove scope”, select “Next”, select “Remove scope items from your registration”, select the scope items and select “Next”. Confirm and upload the completed Declaration for change of provider details..

Notification of material changes – Procedure and evidence requirements

Change	Documentation Required
New chief executive officer (CEO) of RTO	Submit on ASQANet – Material change or event Log in to ASQANet – Select “Notification of Material Change” menu item, then select “Next” and “Next” again, then select “New chief executive officer (CEO) of RTO”, select “Next”, and complete the form. When prompted, upload: Chief Executive Officer Declaration Fit and Proper Person Requirements Declaration When prompted, move to confirm and upload the completed Declaration of material change or event.
New executive	Submit on ASQANet – Material change or event

officer/high managerial agent	Log in to ASQANet – Select “Notification of Material Change” menu item, then select “Next” and “Next” again, then select “New executive officer/high managerial agent”, select “Next”, and complete form. When prompted, upload: Fit and Proper Person Requirements Declaration When prompted, move to confirm and upload the completed Declaration of material change or event.
Remove executive officer/high managerial agent	Submit on ASQANet – Material change or event Log in to ASQANet – Select “Notification of Material Change” menu item, then select “Next” and “Next” again, then select “Remove executive officer/high managerial agent”, select “Next”, then select the person to remove from the dropdown. When prompted, move to confirm and upload the completed Declaration of material change or event.
Change to legal name but not legal entity	Submit on ASQANet – Material change or event Log in to ASQANet – Select the “Notification of Material Change” menu item, then select “Next” and “Next” again, then select “Change to legal name but not legal entity”, select “Next”, then provide the new legal name and effective date. Select “Next” and when prompted, upload: – An ASIC Current and Historical Company Extract – An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. – ASIC Certificate of Registration of Trading Name showing the change of ownership with the new entity name. – An organisational chart that reflects the ownership structure

	and reporting lines of the RTO When prompted, move to confirm and upload the completed Declaration of material change or event.
Change to the registered legal entity.	It is not possible to change the legal entity. The RTO registration is forever tied to the entity and the ABN of Insert Institute Name. The Insert Institute Name may choose to submit an Application for Initial Registration for the new entity.
Change to ownership, directorship and/or control (including sale of RTO business)	Submit on ASQANet – Material change or event Login to ASQANet – Select “Notification of Material Change” menu item then select “Next” and “Next” again, then select “Change to ownership, directorship and/or control”, select “Next”, then complete the form including identifying which organisation does the Change of Ownership and/or Control relates to, the percentage of ownership change, a detailed description of the change, the date an agreement for sale/transfer was made, number of students enrolled at time of agreement of sale/transfer, number of students who have completed issued qualifications in the 12 months before time of agreement of sale/transfer. Select “Next” and when prompted, upload: An ASIC Historical Company Extract Self-assessment tool for change of ownership An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. Chief Executive Officer Declaration Fit and Proper Person Requirements Declaration

	When prompted, move to confirm and upload the completed Declaration of material change or event. This is a complex notification that can require significant evidence. Please refer to the following information: https://www.asqa.gov.au/resources/guides/guide-change-ownership and/or https://newberyconsulting.com.au/rto-change-of-ownership/
Change to financial administration status	Submit on ASQANet – Material change or event. Log in to ASQANet – Select “Notification of Material Change” menu item then select “Next” and “Next” again, then select “Change to financial administration status”, select “Next”, then provide a detailed description of the change, provide contact details and nominated a date when the change came into effect. Select “Next” and when prompted, move to confirm and upload the completed Declaration of material change or event.
Any other significant event	Submit on ASQANet – Material change or event Log in to ASQANet – Select “Notification of Material Change” menu item, then select “Next” and “Next” again, then select “Significant event”, select “Next”, then provide a detailed description of the event, provide contact details and nominate a date when the change came into effect. Select “Next” and when prompted, move to confirm and upload the completed Declaration of material change or event.

3.14 Ceasing to operate

- ii. The CEO is responsible for ensuring that suitable arrangements are in place to provide records of student outcomes to the National VET Regulator if Insert Institute Name ceases to operate. Further details regarding the scope and format of this requirement are provided within the records retention policy. This includes returning the RTO registration certificate.
- iii. If circumstances are such that Insert Institute Name is unable to continue operations (death, liquidation, bankruptcy), the CEO is to advise the National VET Regulator of this decision and provide advice on the impact on currently enrolled students. Notifications are to be made within 90 calendar days of the changes occurring. Insert Institute Name has a responsibility to transfer these enrolments to another RTO with the least disruption to individual students.
- iv. Upon ceasing operations, Insert Institute Name is to facilitate the transfer of currently enrolled students to another RTO, issue these students with an appropriate refund for services not provided, and issue students with Certificates based on completed units of competency.

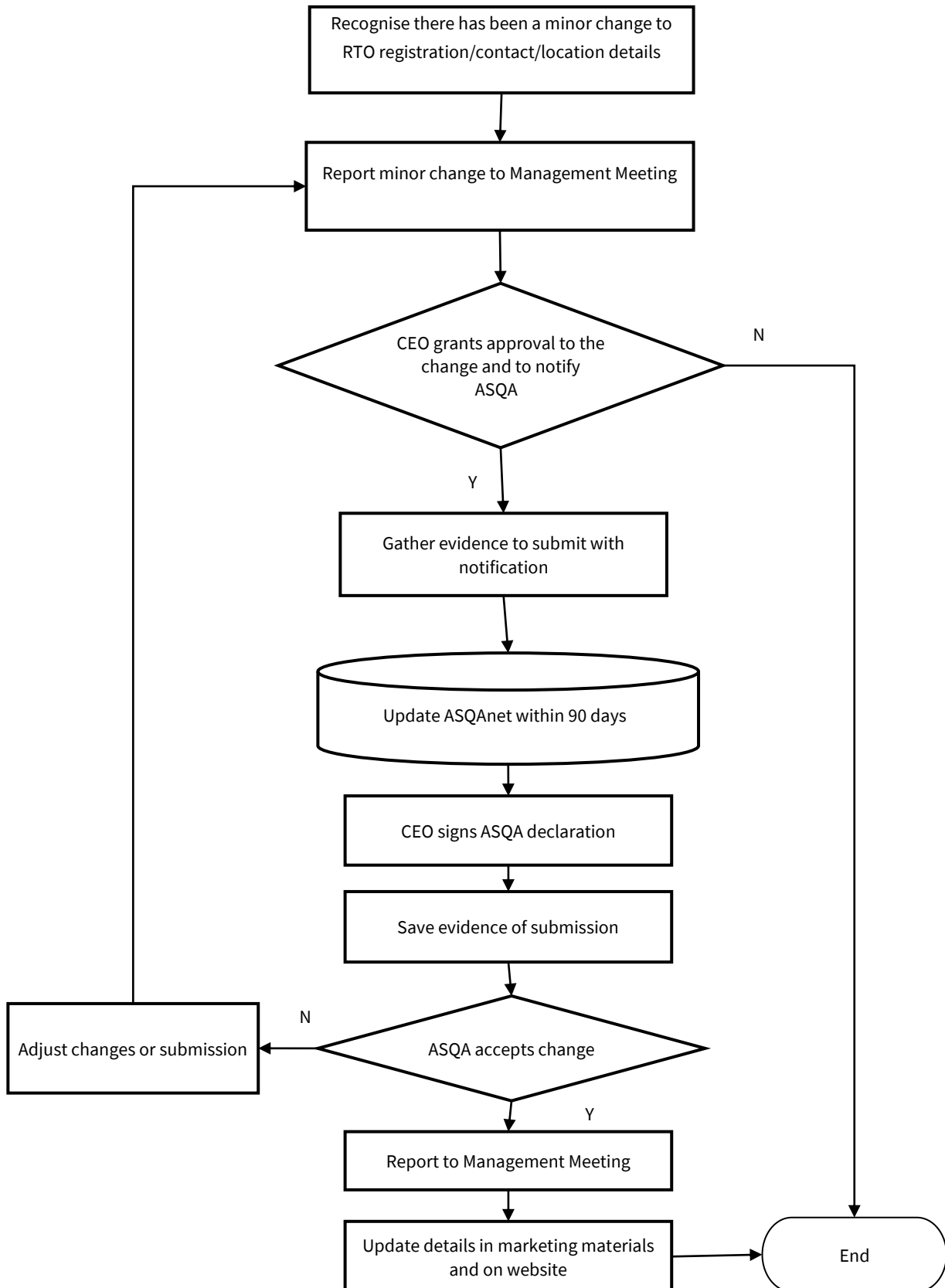
4. Measures

Steps	Person/s responsible
5.1 Notifying ASQA of minor changes to RTO details or removing scope items	
i. Recognise there has been a minor change. This includes: • Change to head office details; • Change to the contact details of the CEO or high managerial agents; • Change to general or registration enquiries contacts; • Change to contact details for an owner; • Change to contact details for a non-owner;	CEO, Office Manager

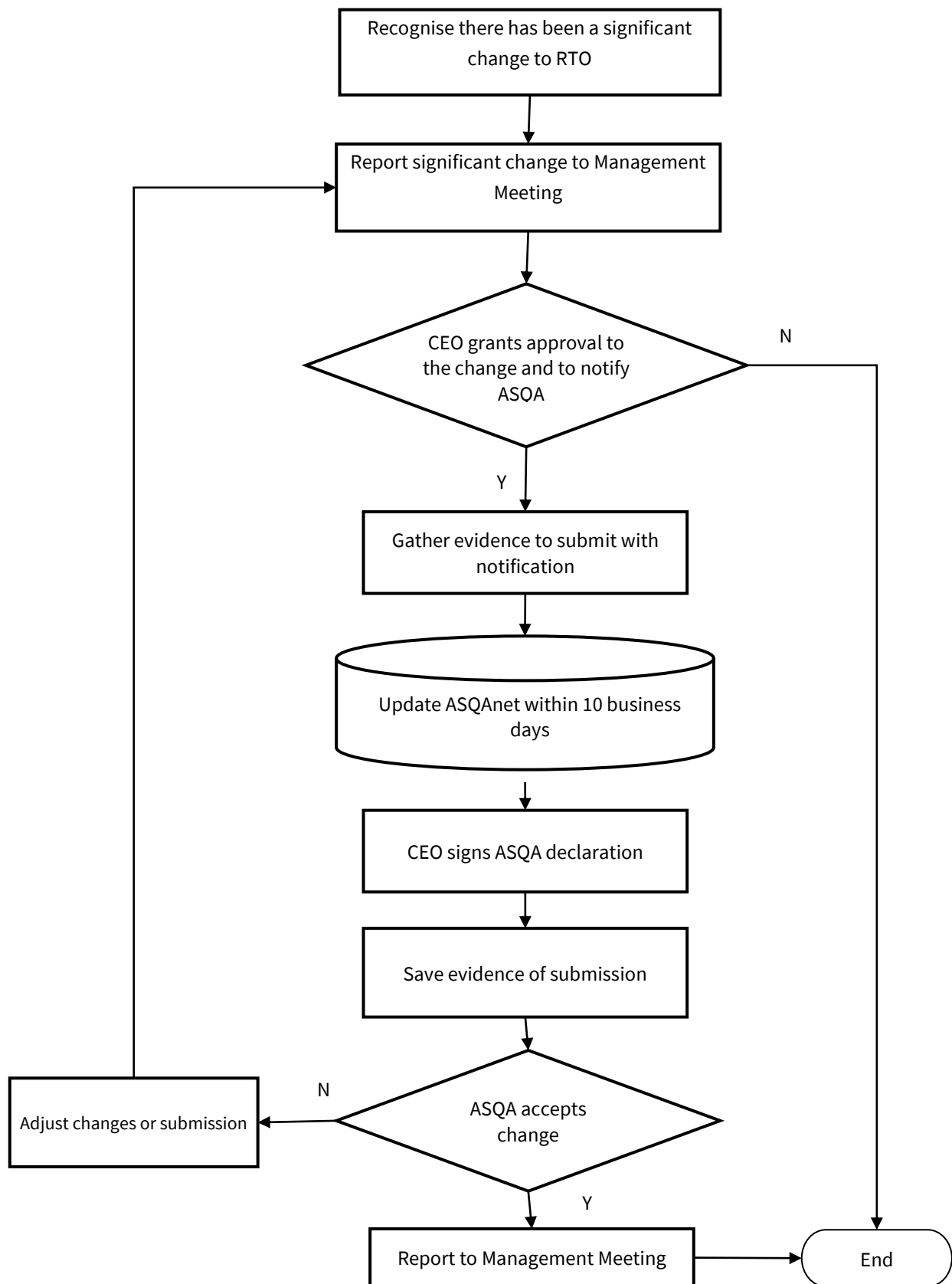
	• Change to delivery locations for scope items; • Change to delivery states for scope items. • Add delivery location(s); • Remove delivery location(s); or • Remove scope items from your registration.	
ii.	Report the minor change at the next Management Meeting and seek CEO approval to notify ASQA.	Office Manager
iii.	Ensure marketing materials and the website reflect minor changes to the head office address, contact details, and delivery sites.	Office Manager
iv.	Gather evidence, if required, to submit with the notification. Refer to Section 3.6 Documentary Evidence above.	Office Manager
v.	Notify ASQA, using the regulator's communications portal ASQAnet, of any minor changes as soon as practicable after they happen and within 90 calendar days. To access the Update Minor VET Details and Remove Scope Form: 1. Select VET/CRICOS applications from the Registration drop-down menu. 2. Select Update Minor VET Details and Remove Scope from the VET/CRICOS applications menu.	CEO or Office Manager
vi.	Upload completed Declaration for change of provider details. Download the CEO declaration from ASQAnet and obtain the CEO's signature on the declaration. Upload completed declaration and submit notification.	CEO, Office Manager
vii.	Save evidence of submission.	Office Manager

viii.	Monitor emails for a notification that the change has been accepted.	Office Manager
ix.	Report to the Management Meeting when ASQA has accepted the change.	Office Manager

5. Flow chart: Reporting minor changes to ASQA



6. Flow chart: Reporting significant changes to ASQA



VERSION HISTORY

Version Number	Date	Summary of changes
1.0	September 2021	New policy
2.0	July 2025	Revised and updated to include the changes according to the Standards for Registered Training Organisations (2025).
3.0	December 2025	Revised and updated to include the changes according to the ESOS 2000 Act.