

<p>Audit Guide – Clause 8.1</p>	
<p>8.1. The RTO cooperates with the VET Regulator:</p> <ul style="list-style-type: none"> a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration; b) in the conduct of audits and the monitoring of its operations; c) by providing quality/performance indicator data; d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO’s ability to comply with these standards within 90 calendar days of the change occurring; e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and f) in the retention, archiving, retrieval and transfer of records. 	
<p>What is this clause about: This clause requires the RTO to keep the National VET Regulator informed about changes to its operation and comply with requests for information and mandatory reporting obligations. These requirements include reporting quality indicator data each year no later than 30 June (click), reporting total VET activity data each year no later than 28th February (click), notifying ASQA of any material or significant changes to the RTO’s operation (click), transfer records to ASQA at the end of the RTO’s registration period (click). Of course, this last one is not usually audited. In fact, it may only be during an on-site renewal of registration or monitoring audit that this clause would be audited. There is no compliance requirement for the organisation to have documented arrangements around these requirements, although we do supply such a policy as it does provide the organisation point of reference and procedure to comply with these notification requirements. These items are quite easily audited based on the activity of the RTO. The primary means of auditing will be to request the RTO provide receipts for submissions it has made to the national regulator. These will be in the form of emails confirming the receipt of mandatory reporting and notification of changes.</p>	
<p>Evidence to prepare:</p> <ul style="list-style-type: none"> – Evidence of any notifications of changes submitted on ASQANet. These may include a change of contact details or a change of delivery sites. However minor the notification is, these provide valuable evidence of how you have kept the regulator informed about your current operation. It is recommended that any correspondence received from ASQA is filed onto a designated file to enable it to be accessed during a regulatory audit. 	<p>You must be able to demonstrate that:</p> <ul style="list-style-type: none"> – You comply with mandatory reporting requirements including quality indicator and total VET activity reporting. – You notify the regulator within 90 calendar days of the change occurring of any significant or material changes to the RTO operation.

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<ul style="list-style-type: none">– Previous years Quality Indicator report - email receipt– Previous is total VET activity report - email receipt– Review the details on the national training register for the RTO and ensure that these are accurate well prior to the audit	<p>You should prepare for these types of questions:</p> <ul style="list-style-type: none">– Have you reported any material or significant changes to your operation to the regulator in the last 2 years?– Can I see your last Quality Indicator report please? Did you receive an email from ASQA confirming receipt of this report?– When and how did you submit your last total VET activity report? Did you receive an email from the NCVER confirming receipt of this report?– Looking at the current details on the national training register, are these details currently accurate and reflect the current operation?

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