



Notification of Significant Changes to the RTO Policy and Procedure

1. Policy

This policy/procedure supports the requirement for ACE to report significant changes in its control, management or operations to Australian Skills Quality Authority (ASQA) and other relevant regulatory agencies.

The following procedure ensures that information on any relevant changes to the ownership or management structure is provided to ASQA within adequate timelines.

2. Procedure

- Where the ownership of the provider is to change, the acting CEO will notify ASQA and other relevant regulatory agencies of the proposed change as soon as practicable, and prior to the change of ownership taking effect.
- Where it is proposed to change the person holding a higher managerial position of the provider, the CEO will notify ASQA and other relevant regulatory agencies of the change as soon as practicable prior to the change taking effect. Where the change cannot be determined prior to the change taking effect, the CEO will notify ASQA of the change within a maximum of 90 calendar days of the change taking effect.

(NB: A person holding a high managerial position means an employee, agent or officer of the provider with duties of such responsibility that his or her conduct may fairly be assumed to represent the provider in dealings with the regulatory body.)

- In addition to ownership or higher managerial position changes, the CEO will notify ASQA and other relevant regulatory agencies of any of the following instances:
 - Changes in the contact details of the CEO and / or ACE Registration contact person(s) for ACE
 - Significant change in ability to meet financial viability requirements
 - Significant changes in any Guarantor arrangements that may be in place
 - Significant changes in mechanisms for securing student fee payments for the period from receipt of funds to the students' commencement of studies (i.e. Tuition Protections Services)
 - An occurrence of a critical incident within the organisation that affects changes to management or operations either of a temporary or permanent nature
 - Address changes to Head Office location or any permanent locations where ACE is delivering training and assessment services (addition of new facilities, cessation of existing facilities)
- Notification of any of the above changes will be completed in writing to ASQA and any other regulatory agency. The CEO shall ensure the written notification is provided of any 'significant change' within at a maximum of 90 calendar days of the change taking effect.
- Notification of any of the above changes will also be forwarded to all students and affected students. Notification shall occur in writing directly to those affected and through general notifications (newsletter, meetings, and notice boards) throughout ACE.

Notification of Significant Changes Policy and Procedure	Version 1.0	Created: July 2015
Authorised by CEO	RTO # 22424	CRICOS # 03219A
©Australian Careers Education Pty Ltd		Page 1 of 2



Notification of Significant Changes to the RTO Policy and Procedure

- Where a significant change also affects the ability of ACE to fulfil any obligations under a Higher Education and Skills Group (HESG) funding contract, the Commission shall be notified. Such changes may include:
 - Any changes to registration status
 - If ACE becomes subject to an Insolvency Event
 - A decision is taken regarding any restructuring of its business or change in ownership or control of ACE which may have an impact on ACE's ability to carry out its obligations under their Agreement or provide the Training Services to Eligible Individuals
- ACE shall regularly discuss any proposed changes of significance through the relevant meetings. These meetings will ensure ACE is able to implement planning processes for any proposed significant changes and provide notification of the changes where possible.
- On an annual basis ACE will review its financial situation with a certified accountant and will report to ASQA any significant changes to ACE's financial viability.
- Notifications of significant changes can be made through the appropriate ASQA forms ('Notification of change of provider' details or 'Notification of material change or event').
<http://www.asqa.gov.au/forms.html>

Notification of Significant Changes Policy and Procedure	Version 1.0	Created: July 2015
Authorised by CEO	RTO # 22424	CRICOS # 03219A
©Australian Careers Education Pty Ltd		Page 2 of 2