

Apprenticeships
Are Us



SIGNIFICANT EVENT NOTIFICATION POLICY



PURPOSE

This policy outlines the procedures and mechanisms for notifying the Victorian Registration and Qualifications Authority (VRQA) of any significant events impacting the operations of Apprenticeships Are Us Ltd (ARU) as a Group Training Organisation (GTO). The purpose of this policy is to ensure compliance with regulatory requirements, including the *National Standards for Group Training Organisations (GTOs)*, the *Australian Charities and Not-for-profits Commission (ACNC) Governance Standards*, and other relevant state and federal legislation.

SCOPE

This policy applies to all ARU employees, executives, and relevant stakeholders responsible for regulatory compliance and reporting obligations. It covers all significant events that may impact ARU's ability to operate as a GTO in accordance with VRQA requirements, National GTO Standards, the *Fair Work Act 2009 (Cth)*, Work Health and Safety (WHS) regulations, and ACNC obligations.

DEFINITION OF SIGNIFICANT EVENTS

Significant events that must be reported to VRQA and other relevant authorities include, but are not limited to:

- **Financial distress or insolvency risk**, including significant changes in funding sources, financial mismanagement, or budgetary constraints affecting operations.
- **Changes in key personnel**, including the CEO, GTO Manager, Compliance Officer, or Board Members, in line with ACNC Governance Standard 5 (Duties of Responsible Persons).
- **Legal actions or compliance breaches**, such as Fair Work Act breaches, industrial relations issues, workplace disputes, or WHS compliance failures.
- **Significant changes to the organisational structure or governance**, including mergers, acquisitions, or strategic shifts impacting service delivery.
- **Major operational disruptions**, including IT system failures, cyber security incidents, data breaches (in line with the *Privacy Act 1988 (Cth)*), or workplace safety incidents requiring reporting under Work Health and Safety laws.
- **Any event affecting ARU's ability to meet its obligations as a GTO**, including changes in training contracts, partnerships, or host employer arrangements.
- **Serious incidents involving apprentices**, including workplace accidents, complaints related to harassment or discrimination (as per the Equal Opportunity Act 2010 (Vic)), or failure to provide appropriate training and supervision.

RESPONSIBILITIES

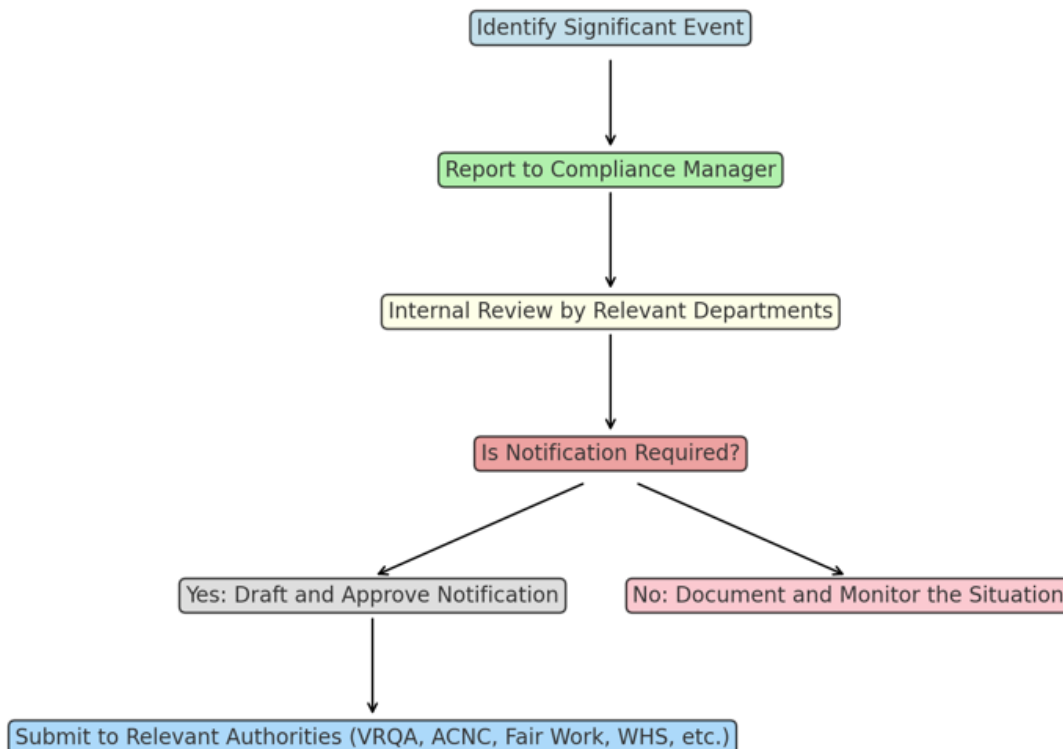
- **Managing Director (MD)**: Ensures overall compliance with VRQA reporting requirements and National GTO Standards.
- **Compliance Manager**: Oversees the notification process and ensures timely reporting of significant events to VRQA, ACNC, and other regulatory bodies.
- **Financial Controller**: Reports financial concerns that may impact the organisation's ability to operate, including compliance with ACNC financial management requirements.

- **Head of People and Culture:** Notifies VRQA of key personnel changes and significant HR-related matters, ensuring compliance with workplace relations laws.
- **Workplace Health & Safety (WHS) Officer:** Ensures reporting of workplace incidents in accordance with WHS regulations and Safe Work Australia requirements.

NOTIFICATION PROCESS

1. **Identification of a Significant Event:** Any ARU employee who becomes aware of a significant event must report it to the Compliance Manager immediately.
2. **Internal Review:** The Compliance Manager, along with relevant department heads, will assess the significance of the event and determine the necessity of reporting to VRQA, ACNC, Fair Work Ombudsman, or other authorities.
3. **Formal Notification:** If required, the Compliance Manager will draft a notification report, obtain approval from the Managing Director, and submit it to the relevant regulatory body within 10 business days of the event occurring.
4. **Record Keeping:** All notifications submitted to regulatory authorities must be documented and stored securely for audit and compliance purposes.
5. **Follow-up Actions:** ARU will implement corrective actions, where necessary, to mitigate risks associated with the event and ensure ongoing compliance.

Significant Event Notification Process Flowchart



REPORTING MECHANISMS

- **Written Notification:** Formal letters or emails to VRQA, ACNC, Fair Work Ombudsman, or other relevant regulatory authorities detailing the nature and impact of the significant event.
- **Meetings & Updates:** Scheduled updates with VRQA representatives and other regulatory bodies as required.
- **Internal Reporting:** Maintenance of an internal incident register to track reported events and responses.
- **ACNC Reporting:** Any significant governance or financial changes must be reported to ACNC in line with charity reporting obligations.
- **Fair Work & WHS Reporting:** Serious workplace incidents, employment disputes, or breaches of employment law must be reported to the relevant authorities as per legal requirements.

COMPLIANCE WITH THE NATIONAL STANDARDS FOR GROUP TRAINING ORGANISATIONS (GTOS)

ARU will ensure compliance with the National Standards for Group Training Organisations, including:

- **Standard 1 – Recruitment, Employment, and Induction:** Ensuring all apprentices are appropriately placed and supported.
- **Standard 2 – Monitoring and Supporting Apprentices and Trainees:** Implementing mechanisms to track apprentice progress and report any issues to regulatory bodies.
- **Standard 3 – GTO Governance and Administration:** Maintaining compliance with regulatory reporting and governance requirements.
- **Standard 4 – Compliance with Legislation and Standards:** Ensuring full adherence to all applicable laws, regulations, and standards.

COMPLIANCE AND REVIEW

This policy will be reviewed annually or as required to ensure alignment with VRQA regulations, National GTO Standards, ACNC requirements, WHS laws, and Fair Work regulations. The Compliance Manager is responsible for policy updates and staff training on reporting obligations.

RELATED DOCUMENTS

- National Standards for Group Training Organisations
- Business Continuity Plan
- Incident Reporting Procedure
- Corporate Governance Charter
- Corporate Governance Statement
- Financial Management Policy
- Work Health & Safety Policy
- Privacy Policy

APPROVAL AND IMPLEMENTATION

This policy is approved by the Managing Director and takes effect from the date of approval.

AUTHORISATION

Michael Wentworth



Managing Director

Apprenticeships Are Us Limited

DOCUMENT CONTROL

Version	Authorised by	Authorisation Date	Sections	Amendment
1.1	M. Wentworth	04/04/2022	All	N/A
1.2	M. Wentworth	05/03/2025	All	Cover page, minor information update