

Supervising registered training organisation – ceasing training operations

Purpose

This procedure details the processes to follow when a supervising registered training organisation (SRTO) discontinues the delivery of apprenticeship/traineeship training and assessment. It also details how to manage the transition of apprentices/trainees to a new SRTO.

Overview

An SRTO may, from time to time, exit the vocational education and training sector as a result of:

- making a business decision to cease offering training for one/several qualifications
- voluntarily closing their business
- being placed in receivership
- altering, losing or voluntarily relinquishing their Skills Assure Supplier (SAS) status under the User Choice program
- voluntarily withdrawing their scope of registration on the approval of the national regulator, Australian Skills Quality Authority (ASQA)
- not operating in accordance with the conditions of registration, resulting in ASQA applying enforcement powers, which include sanctions.

On confirmation that an SRTO is no longer in a position to deliver training, all actions to replace the SRTO are dealt with urgently so as not to disadvantage the affected apprentices/trainees.

An SRTO cannot stop delivering training agreed in a training plan without agreement by all parties to the training plan, approval from the Department of Employment, Small Business and Training (DESBT), or unless there are circumstances beyond their control (e.g. liquidation, cancellation of registration as an RTO).

Process

Employer

- Inform DESBT if it becomes apparent there is a change in their SRTO's ability to deliver training to their apprentices/trainees.
- Contact DESBT through Apprenticeships Info on 1800 210 210 or email apprenticeshipsinfo@qld.gov.au to provide or receive any information in regard to the status of the SRTO.
- If it is confirmed the SRTO is ceasing operations, ensure the apprentices/trainees' training records are up-to-date.
- Together with the affected apprentices/trainees, choose a new SRTO and notify the Apprentice Connect Australia Provider (Provider) or DESBT. Form [ATF-010: Change of supervising registered training organisation](#) is available for this purpose.

Apprentice/Trainee

- Inform DESBT if it becomes apparent there is a change in their SRTO's ability to deliver training – by telephoning Apprenticeships Info on 1800 210 210 or emailing apprenticeshipsinfo@qld.gov.au.
- If it is confirmed that an SRTO is ceasing operations, contact the SRTO to get the training record updated and request a statement of attainment of units of competency achieved, and if applicable discuss options to complete the apprenticeship/traineeship.
- If the SRTO has already ceased operations and cannot be contacted and the apprentice/trainee has not received a statement of attainment of units of competency achieved, contact ASQA regarding obtaining this evidence.

- Together with the employer, choose a new SRTO and notify the Apprentice Connect Australia Provider (Provider) or DESBT. Form [ATF-010: Change of supervising registered training organisation](#) is available for this purpose.

Supervising Registered Training Organisation (SRTO)

- If there is a SAS agreement in place, inform the Contract Manager, Contract Management, Training and Skills, DESBT, in writing, of any changes to the SRTO's operations.
- If the SRTO does not have a SAS agreement with DESBT, inform DESBT by telephoning Apprenticeships Info on telephone 1800 210 210 of any changes to the SRTO's operations.
- Inform and assist the employers and apprentices/trainees impacted by the change to replace their SRTO.
- Issue any eligible apprentices/trainees with a qualification.
- Issue apprentice/trainees with any outstanding statements of attainment.
- Update the apprentice/trainees' training records to reflect both structured and on-the-job training undertaken.

Contract Management, Training and Skills, DESBT

- Inform the Queensland Apprenticeship and Traineeship Office (QATO) via email at OPRA@desbt.qld.gov.au on becoming aware that an SRTO has ceased operations, or is ceasing operations, and if necessary, work in collaboration with QATO to confirm the status of the SRTO.
- When an SRTO has ceased operations, or is ceasing operations, communicate to the affected parties (i.e. employers and apprentices/trainees) the requirement to choose a replacement SRTO.

Quality and Compliance Unit, DESBT

- Inform QATO of any information about an SRTO ceasing training operations.

DESBT Customer Centre (DCC), Training and Skills, DESBT

- Upon receipt of a phone call alleging an SRTO's closure or ceasing training operations, if it is not known that the SRTO is ceasing operations, DCC must:
 - advise the caller that the information will need to be confirmed.
 - immediately verify the information as per DCC's protocol 'Australian Skills Quality Authority – Allegation of an RTO closing down and confirmed RTO closures'.
 - inform QATO via email to OPRA@desbt.qld.gov.au.

Regional Offices, Training and Skills, DESBT

- If requested by QATO:
 - Visit an SRTO's physical address to look for signs that an SRTO may have ceased operating.
 - Notify employers and apprentices/trainees, and parents and schools (where applicable and appropriate), that their current nominated SRTO can no longer provide the training and assessment services and they will need to choose a new SRTO. Record this action in DELTA and monitor progress (create a bring-up) to ensure a replacement SRTO is selected and recorded in DELTA.
- If appropriate, arrange a visit to the workplace and assist the employer and affected apprentices/trainees to choose and change to a new SRTO. A visit may be appropriate where an employer has a number of apprentices/trainees with the SRTO.
- If required, provide advice/assistance to apprentices/trainees regarding the process for obtaining statements of attainment, either from the SRTO, the Administrator/Receiver, or evidence from ASQA regarding the units of competency completed – refer to <https://www.asqa.gov.au/resources/forms/application-copy-student-records>.
- If QATO requested regional assistance, keep QATO informed of progress and outcomes.

Queensland Apprenticeship and Traineeship Office (QATO), Training and Skills, DESBT

Upon receipt of advice that an SRTO has ceased operations, or may be ceasing operations, depending on the circumstances (e.g. where the advice has come from, how reliable the source of the information is), actions that may be required include:

- Confirming whether or not the SRTO has ceased operations
 - Check the Training.gov.au (TGA) website for the current 'status' of the RTO (in the summary tab), and any information that may be of significance (e.g. ASQA notes) in any of the other tabs.



- If the SRTO has a SAS agreement and the advice has come from an area other than Contract Management, work in collaboration with Contract Management to confirm the status of the SRTO.
- If deemed necessary, request assistance from the relevant Service Delivery Regional Office – a field officer may need to visit the business’ physical address and look for any signs of the SRTO’s closure.
- If the SRTO is located interstate, attempt to communicate directly with the SRTO.
- Contact ASQA, if appropriate.
- Providing confirmation, as deemed necessary, that an SRTO has ceased operations, a list of the apprentices/trainees impacted, and progress reports, to the following key stakeholders:
 - Regional Directors, DESBT regions
 - Director, Contract Management
 - DELTA Helpdesk, Training and Skills, DESBT
 - Director, DCC, Training and Skills, DESBT
 - Quality and Compliance Unit, DESBT – to action any outstanding audit requirements that the SRTO must meet to ensure compliance with their SAS agreement
 - Apprentice Connect Australia Providers (Providers) – to action any unprocessed training contracts which nominate the SRTO, to facilitate the renegotiation of an SRTO.

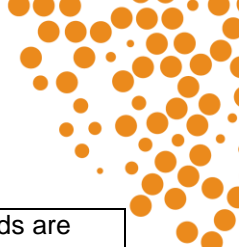
Note - when compiling a list of apprentices/trainees impacted by the change, ensure the following information is included (group the list of names by region/district cohort):

- training contract registration number
- home and postal address details of the apprentice/trainee
- qualification
- parent details (where applicable)
- school (where applicable)
- employer’s name and postal address details

- Determining a communication and resolution strategy
 - Ensure Contract Management facilitates a process to communicate that an SRTO has ceased operations, or is ceasing operations, to the affected parties (i.e. employers and apprentices/trainees), including informing the parties of the requirement to select a replacement SRTO.
 - If considered necessary, request assistance from the relevant Service Delivery Regional Office/s to assist the parties (i.e. employers and apprentice/trainees) to select a replacement SRTO.
 - Consider the location of the SRTO and the apprentices/trainees when developing a resolution strategy utilising Service Delivery, that may include:
 - nominating one region only to facilitate the transition – where the impacted apprentices/trainees are located within that region.
 - nominating a lead region – where the impacted apprentices/trainees are located in more than one region, however the majority are located in the lead region.
 - organising for the relevant regions to coordinate their efforts – where the impacted apprentices/trainees are located in multiple regions.
- If the SRTO has already ceased operations and cannot be contacted, and there are known issues regarding apprentices/trainees not having received their statements of attainment, email the ASQA Compliance Operations Unit at enquiries@asqa.gov.au to confirm whether ASQA has been successful in obtaining statements of attainment for the apprentices/trainees, or been provided with sufficient evidence of units of competency completed by the apprentices/trainees to enable ASQA to issue each a letter on their letterhead as evidence for credit transfers.
 - If necessary, advise Service Delivery Regional Officers of the process for apprentices/trainees to obtain their outstanding statements of attainment from ASQA.
- If an investigation leads to a determination that the SRTO is not closing, immediately notify all relevant stakeholders.

Definitions

AIRDOCS	A system used by DESBT for letter templates which are subsequently generated through DELTA.
ASQA	Australian Skills Quality Authority, the national regulator for Australia’s vocational education and training (VET) sector. ASQA regulates training providers that deliver



	VET qualifications and courses to ensure nationally approved quality standards are met.
Apprentice Connect Australia Provider	Apprentice Connect Australia Providers, also known as Providers, are contracted by the Australian Government to provide targeted services which deliver tailored advice and support to employers, apprentices and trainees. Providers also have an agreement with DESBT to provide training contract related services. The Provider is the first point of contact for the administration of all training contracts.
DELTA	Direct Entry Level Training Administration, DESBT's database of registered apprentices and trainees.
DESBT	Department of Employment, Small Business and Training
DESBT Customer Centre (DCC)	Responsible for managing calls received through the Apprenticeships Info line and emails received in the mailbox apprenticeshipsinfo@qld.gov.au .
Contract Management	Manages vocational education and training funding provided to Skills Assure Suppliers.
Quality and Compliance Unit	Audit Skills Assure Suppliers
Skills Assure Suppliers (SAS)	The Skills Assure Supplier (SAS) system provides a central register of pre-approved registered training organisations for the delivery of training and assessment services subsidised by the Department of Employment, Small Business and Training.
Supervising registered training organisation (SRTO)	A registered training organisation that: <ol style="list-style-type: none"> 1. accepts a nomination to deliver training and assessment to apprentices or trainees as negotiated and agreed under individual training plans 2. assesses an employer's capacity to provide the supervision, facilities and training required under the training plan for an apprentice or trainee 3. assesses whether the apprentice or trainee has completed the training and assessment required to be completed under a training plan 4. when satisfied the apprentice or trainee has completed the training and assessment required, issues the qualification or statement of attainment stated in the training plan, and is a signatory on a completion agreement verifying that all training and assessment required under the training plan has been completed by the apprentice or trainee.
TGA – training.gov.au	The national register containing information on registered training organisations (RTOs), nationally recognised training (training packages, qualifications, accredited courses, skill sets and units of competency) and the approved scope of each RTO to deliver nationally recognised training.
User Choice	A State Government program that provides a public funding contribution to RTOs towards the cost of training and assessment services for eligible Queensland apprentices and trainees.

Legislation

- [Further Education and Training 2014](#)

Delegations/Authorisations

- [Director-General's Delegations under the Further Education and Training Act 2014](#)
- [Executive Director's Sub-delegations under the Further Education and Training Act 2014](#)

Related policies

- Nil

Related procedures

- [Completion of an apprenticeship or traineeship \(where the RTO has ceased operating\)](#)

Supporting information/websites

Agreements

- Nil



Forms

- [Change of supervising registered training organisation – ATF-010](#)

Work instructions

- Nil

Online materials

- DCC protocol: [Australian Skills Quality Authority – Allegation of an RTO closing down and confirmed RTO closures](#) (DESBT only)

Letters

- AIRDOCS – Amendment Change of SRTO (DESBT employees only)
- AIRDOCS – Cancelled/Expired SRTO (A&E) (DESBT employees only)

Website

- Nil

Contact

For further information, please contact Apprenticeships Info:

- **Website:** www.desbt.qld.gov.au
- **Telephone:** 1800 210 210
- **Email:** apprenticeshipsinfo@qld.gov.au





Attachment 1

Factors to be considered in decision making process

A range of factors may impact on the action to take in relation to an SRTTO ceasing training operations. Whilst this is not an exhaustive list of factors and considerations, the information below may assist with taking the most appropriate action.

When might it not be necessary to confirm if an SRTTO is ceasing, or has ceased, training operations?	Evidence supports that an RTO has gone into liquidation, or has had its registration cancelled.
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