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Form A

Application for initial registration to become a registered training organisation

## About this form

Organisations wanting to apply for registration as a registered training organisation (RTO) in Victoria under Part 4.3 of the *Education and Training Reform Act 2006* (ETR Act) are required to complete this form.

## Eligibility

To be registered as an RTO by the Victorian Registration and Qualifications Authority (VRQA) your organisation must deliver training in Victoria only, or in Victoria and Western Australia only.

If your organisation intends to deliver training in other states and territories and/or deliver to international students, you must apply for registration to the [Australian Skills Quality Authority (ASQA)](http://www.asqa.gov.au).

If your organisation is a company incorporated in Australia, an incorporated association or body otherwise specified in Section 4.3.16 (4A) of the ETR Act you can apply to the VRQA for registration as an RTO. If you are a sole trader, trust or partnership you will be ineligible to apply for registration. A company incorporated in Australia and acting as a trustee can apply for registration.

Organisations wanting to apply for an RTO registration must meet the principal purpose requirement or obtain an exemption.

## Privac**y disclaimer**

All information collected in this declaration is required by state or Commonwealth legislation and associated regulatory frameworks.

The VRQA will only use this information in relation to its powers and functions under the *Education and Training Reform Act 2006*. The VRQA is committed to handling all personal information securely in accordance with the *Privacy and Data Protection Act 2014*. To learn more about how the VRQA handles personal information, access the VRQA information privacy policy:

* [Privacy statement](https://www2.vrqa.vic.gov.au/vrqa-privacy-statement)

You are able to request access to the personal information that we hold about you and request that it be corrected.

# The 7 Step Registration Process

**Step 1: Attend a financial management guidance session and pre-registration information session**

All applicants for registration must attend a session before applying for registration as an RTO. [Contact](http://Contact) the VRQA’s VET and Industry Engagement Unit to find out when the next session is being held:

* [vrqa.vet@education.vic.gov.au](mailto:vrqa.vet@education.vic.gov.au)

## Step 2: Prepare Form A

1. Read [Guide to Form A](https://www2.vrqa.vic.gov.au/register-rto).
2. Read the [VRQA Guidelines for VET Providers](https://www2.vrqa.vic.gov.au/standards-and-guidelines-registered-training-organisations#vetguidelines) and the [AQTF Essential Conditions and Standards for Initial Registration (RTO standards)](https://www2.vrqa.vic.gov.au/standards-and-guidelines-registered-training-organisations#aqtf).
3. Complete this form and attach all the required documentation including Appendix 1 and 2 (see pages 21–32).
4. Review and complete the Checklist to Form A in Section 7 of this document (see page 18).

## Step 3: Submit completed application to:

**Note:** To assist with the timely processing of your application, the VRQA requests that Form A (completed and signed) together with the evidence is submitted via email to:[vrqa.vet@education.vic.gov.au](mailto:vrqa.vet@education.vic.gov.au)

**Step 4: Pay the lodgement fee and, if invoiced, pay the assessment fee**

The VRQA will acknowledge your application with an invoice sent via email for the lodgement fee. The lodgement fee is non-refundable.

## Step 5: Complete Phase 1 assessment

1. After the lodgement fee has been paid in full, the VRQA will review your application to determine if your organisation meets the basic requirements to become an RTO under the ETR Act, the RTO standards and theVRQA Guidelines for VET Providers*.* Applications that are incomplete, incorrectly completed or ineligible will not proceed.
2. If your application is deemed eligible, the VRQA will invoice you via email for the assessment fee.
3. Phase 1 involves an assessment of your organisation's compliance with the VRQA Guidelines for VET Providers – Guideline 1: Governance, Financial viability and Management systems.
4. If your organisation completes the Phase 1 assessment to the satisfaction of the VRQA, you will proceed to Step 6.

## Step 6: Complete Phase 2 quality audit and, if invoiced, pay the annual registration fee

1. Phase 2 involves a site visit to assess your organisation's compliance with the remaining aspects of the VRQA Guidelines for VET Providers, and your compliance with the RTO standards.
2. If your organisation completes the Phase 2 audit to the satisfaction of the VRQA, you will be invoiced via email for the annual registration fee.

## Step 7: Registration recommended for approval by the VRQA Authorised Delegate

1. Pay the annual registration fee and your application for registration will be submitted for recommendation and approval. The VRQA authorised delegate can approve a registration period of up to five years for a training organisation.
2. Successful applicants will receive formal advice of their registration and a Certificate of Registration.

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| Form A—Application for initial registration to become an RTO | | | | | | | | | | | |
| Section 1 | Applicant’s details | | | | | | | | | | |
| 1.1 | Name of legal entity applying for registration  (Invoices will be addressed to this name) |  | | | | | | | | | |
| 1.2 | Type of legal entity |  | Company | | | | | | | | |
|  | Incorporated body in receipt of government funds | | | | | | | | |
| Attach a copy of the Certificate of Registration of a Company and full Australian Securities Investment Commission (ASIC) details showing the names and addresses of all directors or a Certificate of Incorporation. | | | | | | | | | |
| 1.3 | Registered business or trading name(s) |  | | | | | | | | | |
| (Attach a copy of the Business Name Summary from ASIC Connect.) | | | | | | | | | |
| Australian Company Number |  | | | | | | | | | |
| Australian Business Number |  | | | | | | | | | |
| 1.4 | Type of training organisation  (Tick one of the following categories) | School | | | | | | | | | |
|  | Government school | | | | | | | | |
|  | Catholic school | | | | | | | | |
|  | Independent school | | | | | | | | |
| Other training provider | | | | | | | | | |
|  | Private provider | | | | | | | | |
|  | Industry association | | | | | | | | |
|  | Professional association | | | | | | | | |
|  | Equipment/product manufacturer/supplier | | | | | | | | |
|  | Community based adult education | | | | | | | | |
|  | Adult Community Education (ACE) provider funded by the Adult, Community and Further Education (ACFE) Board | | | | | | | | |
| Enterprise | | | | | | | | | |
|  | Non-government enterprise | | | | | | | | |
|  | Government enterprise | | | | | | | | |
| List the legislation under which the entity is established | | | | | | | | | |
| Principal purpose requirement (Indicate which one of the following applies) | | | | | | | | | |
|  | My organisation has the principal purpose of providing education and training | | | | | | | | |
|  | My organisation is automatically exempt from the principal purpose requirement | | | | | | | | |
|  | My organisation does not meet the principal purpose requirement of providing education and training | | | | | | | | |
| (Attach an application to the VRQA Director for a Ministerial exemption from the principal purpose requirement.) | | | | | | | | | |
| 1.5 | Head office of legal entity applying for registration | Street address | | |  | | | | | | |
| Suburb/town | | |  | | | | | Postcode |  |
| Is this a residential address? | | | | Yes | | No | | | |
| Postal address  (if different from street address) | | | |  | | | | | |
| Phone (mandatory field) | | | |  | | | | | |
| Mobile | | | |  | | | | | |
| Fax | | | |  | | | | | |
| Email  **Note:** Free subscription email is not accepted | | | |  | | | | | |
| Email address for invoices  (if different from above) | | | |  | | | | | |
| Website | | |  | | | | | | |
| Address where financial, student and staff records, including archives and computer back-up storage will be kept (if different from head office address above) | | | | | | | | | |
| Street address | | |  | | | | | | |
| Suburb/town | | |  | | | | | Postcode |  |
| 1.6 | Principal place of your organisation's business  (if different from head office) | Street address | | |  | | | | | | |
| Suburb/town | | | | | | | | Postcode |  |
| Is this a residential address? | | | |  | Yes |  | No | | |
| Note: If your organisation’s principal place of business is a residential premises, the VRQA may require the site audit of your organisation to be conducted from a mutually convenient alternative location. | | | | | | | | | |
| Postal address  (if different from street address) | | | |  | | | | | |
| Phone (mandatory field) | | | |  | | | | | |
| Mobile | | | |  | | | | | |
| Fax | | | |  | | | | | |
| Email (Free subscription email is not accepted.) | | | |  | | | | | |
| Website | |  | | | | | | | |

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| 1.7 | Your organisation’s permanent delivery sites | It is your organisation's responsibility to ensure that all delivery sites comply with Victorian planning schemes for use as educational centres and facilities meet the appropriate building, fire safety and occupational health and safety laws. Your organisation must be able to produce this evidence at audit. | | | | | | | |
| Delivery site 1 | | Name | | |  | | |
| Street address |  | | | | | | |
| Suburb/town |  | | | | | Postcode |  |
| Contact person at this delivery site | | | | | | | |
| Title |  | | | | | | |
| Surname |  | | | | | | |
| Given names |  | | | | | | |
| Position |  | | | | | | |
| Phone |  | | | | | | |
| Mobile |  | | | | | | |
| Fax |  | | | | | | |
| Email (Free subscription email is not accepted) | | | |  | | | |
| Website |  | | | | | | |
| Delivery site 2 (if applicable) | | Name | | |  | | |
| Street address |  | | | | | | |
| Suburb/town |  | | | | | Postcode |  |
| Contact person at this delivery site | | | | | | | |
| Title |  | | | | | | |
| Surname |  | | | | | | |
| Given names |  | | | | | | |
| Position |  | | | | | | |
| Phone |  | | | | | | |
| Mobile |  | | | | | | |
| Fax |  | | | | | | |
| Email (Free subscription email is not accepted) | | |  | | | | |
| (Attach additional pages to this application if you have more than two delivery sites.) | | | | | | | |

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| 1.8 | Principal executive officer (PEO)  This is the person with responsibility for the organisation–often the Chief Executive Officer. | Attach a valid police check (and a Working With Children or Victorian Institute of Teaching registration check if the PEO is in regular and direct contact with children under 18 years of age). | | | | | | |
| Title |  | | | | | |
| Surname |  | | | | | |
| Given names |  | | | | | |
| Phone |  | | | | | |
| Mobile |  | | | | | |
| Fax |  | | | | | |
| Email (Free subscription email is not accepted) | |  | | | | |
| Business address | | | | | | |
| Street address |  | | | | | |
| Suburb/town |  | | Postcode | |  | |
| If different from head office address above, provide reason for different address. | | | | | | |
| 1.9 | Liaison officer  (responsible for all VET registration matters)  and finance contact  (responsible for financial compliance matters) | VET Liaison officer | | | | | | |
| Title |  | | | | | |
| Surname |  | | | | | |
| Given names |  | | | | | |
| Phone |  | | | | | |
| Mobile |  | | | | | |
| Fax |  | | | | | |
| Email (Free subscription email is not accepted) | |  | | | | |
| Finance contact | | | | | | |
| Title |  | | | | | |
| Surname |  | | | | | |
| Given names |  | | | | | |
| Phone |  | | | | | |
| Mobile |  | | | | | |
| Fax |  | | | | | |
| Business address | | | | | | |
| Street address |  | | | | | |
| Suburb/town |  | | | Postcode | |  |
| If different from head office address above, provide reason for different address. | | | | | | |
| 1.10 | Provide a brief description of your organisation's student records management system and administration capacity. | Your organisation will be required to demonstrate at audit that it has the capacity to provide the VRQA with data that complies with the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS).  **Note:** If your organisation ceases operations, it is a requirement that an electronic copy of all your student records, in Excel format, is provided to the VRQA for archiving and reissuing qualifications if required. | | | | | | |

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| Section 2 | | Details of legal entity’s director’s shareholders and senior officers | | | | | |  |
| Your organisation is required to provide information about any person who serves in one or more of the following capacities: director, shareholder or senior officer.  Refer to the Guide to Form A for the definition of a senior officer.  All company directors and substantial shareholders must be listed, and these details must align to records held by the Australian Securities and Investment Commission (ASIC).  This information is required for the VRQA to consider your organisation's suitability for registration as an RTO. Your organisation must complete the questions below for each director and/or shareholder and/or senior officer of your organisation.  If your organisation is a company, your organisation must complete the questions below for each shareholder of the company.  If your organisation has more than 20 shareholders, provide the details of the 20 largest shareholders of the company.  If your organisation is an incorporated association, provide the details of the chairperson, secretary, public officer and committee members.  **One director or the PEO of your organisation MUST have their principal residence in Victoria for your organisation to be eligible for registration in Victoria.**  Does one director of the PEO have their principal address in Victoria? | | | | | | | | |
| Yes | No | | |
| For each director and/or senior officer attach the following:   * A valid police check * Working With Children check or Victorian Institute of Teaching registration if this person is in regular and direct contact with children under 18 years of age   If the director is the PEO or a senior officer of the organisation you must also attach:   * Qualifications and educational experience relevant to the management of the proposed RTO. | | | | | | | | |
| Person 1 | | | Title | |  | | | |
| Surname | |  | | | |
| Given names | |  | | | |
| Date of birth | |  | | | |
| Position | |  | | | |
| Phone | |  | | | |
| Mobile | |  | | | |
| Fax | |  | | | |
| Email (Free subscription email is not accepted.) | |  | | | |
| Residential address | |  | | | |
| Street address | |  | | | |
| Suburb/town | |  | Postcode |  | |

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| --- | --- | --- | --- | --- |
| Person 2 | Title |  | | |
| Surname |  | | |
| Given names |  | | |
| Date of birth |  | | |
| Position |  | | |
| Phone |  | | |
| Mobile |  | | |
| Fax |  | | |
| Email (Free subscription  email is not accepted) |  | | |
| Residential address | | | |
| Street address |  | | |
| Suburb/town |  | Postcode |  |
| Person 3 | Title |  | | |
| Surname |  | | |
| Given names |  | | |
| Date of birth |  | | |
| Position |  | | |
| Phone |  | | |
| Fax |  | | |
| Email (Free subscription email is not accepted.) |  | | |
| Residential address | | | |
| Street address |  | | |
| Suburb/town |  | Postcode |  |
|  | Tick this box if your organisation has more than three directors, shareholders or senior officers. | | |
| (Attach additional pages to this application setting out the information listed above for each individual.) | | | |

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| Section 3 | | Legal entity’s history | | | | | | | | | | | | | | | |
| The following questions relate to your organisation and any director, shareholder or senior officer. They are designed to make sure staff meet *the fit and proper person requirements* in the *RTO standards.* | | | | | | | | | | | | | | | | | |
| 3.1 | Is your organisation or any director, shareholder or senior officer currently registered as, or involved with\*, an RTO other than your organisation in any state or territory in Australia?  \* ‘involved with’ means ‘having a relationship of any kind with’ and may include, but is not limited to a contractual arrangement, employment, unpaid consultancy, partnering agreement or joint venture | |  | | Yes, my organisation is currently registered and/or involved with another RTO/third party | | | | | | | | | | | | |
|  | | Yes, a director, shareholder or senior officer is registered and/or involved with an RTO/Third Party | | | | | | | | | | | | |
|  | | No, neither my organisation, nor any director, shareholder nor senior officer is currently registered and/or involved with an RTO/third party | | | | | | | | | | | | |
| If you answered Yes to the above question(s) provide details below. | | | | | | | | | | | | | | |
| Legal name of RTO | | | |  | | | | | | | | | | |
| Trading name(s) | | | |  | | | | | | | | | | |
| Training Organisation Identification Number (TOID) | | | |  | | | | | | | | | | |
| Period of registration from | | | |  | | | to | |  | | | | | |
| State or territory of registration | | | |  | | | | | | | | | | |
| Australian Company Number (ACN) | | | |  | | | | | | | | | | |
| Australian Business Number (ABN) | | | |  | | | | | | | | | | |
| Principal executive officer | | | |  | | | | | | | | | | |
| Provide details about which director, shareholder or senior officer and the nature of their involvement with this organisation | | | | | | | | | | | | | | |
| (If you have more than one registered or associated RTO provide all details on an additional page and attach to this application.) | | | | | | | | | | | | | | |
| 3.2 | Has your organisation or any director, shareholder or senior officer ever been registered, or involved with, an RTO in any state or territory in Australia in the past?  For the definition of **involved with**, see previous question (3.1) | |  | Yes, my organisation has previously been registered as an RTO and/or involved with an RTO | | | | | | | | | | | | | |
|  | Yes, a director, shareholder or senior officer of my organisation has previously been registered as an RTO and/or involved with an RTO | | | | | | | | | | | | | |
|  | No, neither my organisation nor any director, shareholder nor senior officer has previously been registered as an RTO and/or involved with an RTO | | | | | | | | | | | | | |
| If you answered Yes to the above question(s), provide details below. | | | | | | | | | | | | | | |
| RTO Legal name | | | |  | | | | | | | | | | |
| Trading name(s) | | | |  | | | | | | | | | | |
| Training Organisation Identification (TOID) Number | | | |  | | | | | | | | | | |
| Period of registration from | | | |  | | to | | | | |  | | | | |
| State or territory where registration was held | | | |  | | | | | | | | | | |
| Australian Company Number (ACN) | | | |  | | | | | | | | | | |
| Australian Business Number (ABN) | | | |  | | | | | | | | | | |
| RTO principal executive officer | | | |  | | | | | | | | | | |
| Provide details about which director, shareholder or senior officer and the nature of their involvement with this organisation. | | | | | | | | | | | | | | |
| 3.3 | Apart from this application, does your organisation or any director, shareholder or senior officer have an application for registration as an RTO lodged with any other registering body? | | Yes | | | No | | | | | | | | | | | |
| If Yes, indicate: Australian Skills Quality Authority (ASQA) or in Western Australia | | | | | | | | | | | | | | |
| Has your organisation or any director, shareholder or senior officer ever: | | | | | | | | | | | | | | | | | |
| 3.4 | Been refused registration as an RTO or had a registration cancelled by the VRQA or any state, territory or Commonwealth registering body? | | | | | | | | | | | Yes | | | | No | |
| 3.5 | Had registration as an RTO suspended by the VRQA or any state, territory or Commonwealth registering body? | | | | | | | | | | | Yes | | | | No | |
| 3.6 | Had conditions imposed on registration as an RTO by the VRQA or any state, territory or Commonwealth registering body? | | | | | | | | | | | Yes | | | | No | |
| 3.7 | Been convicted of an indictable offence under a law of the Commonwealth or of any Australian state or territory? | | | | | | | | | | | Yes | | | | No | |
| 3.8 | Been convicted of a sexual offence? | | | | | | | | | | | Yes | | | | No | |
| 3.9 | Been convicted of an offence that involves fraud or dishonesty? | | | | | | | | | | | Yes | | | | No | |
| 3.10 | Been bankrupt or taken the benefit of any law for the relief of bankrupt debtors, or compounded with their creditors or made an assignment of their property for their benefit? | | | | | | | | | | | Yes | | | | No | |
| 3.11 | Been part of a company or body that has been wound up? | | | | | | | | | | | Yes | | | | No | |
| 3.12 | Been disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001?* | | | | | | | | | | | Yes | | | | No | |
| 3.13 | Been convicted of an offence against the Consumer Act within the meaning of the *Fair Trade Act 1999* or a law relating to company administration or an offence equivalent to this in any Australian state or territory? | | | | | | | | | | | Yes | | | | No | |
| 3.14 | Been convicted of an offence against the ETR Act or a corresponding law of the Commonwealth or of any Australian state or territory? | | | | | | | | | | | Yes | | | | No | |
| 3.15 | Been in breach of a government training contract? | | | | | | | | | | | Yes | | | | No | |
| 3.16 | Been found non-compliant with the Victorian Child Safe Standards | | | | | | | | | | | Yes | | | | No | |
| 3.17 | If you answered Yes to any of questions above (3.4 to 3.15), you need to complete the additional details as follows. | | | | | | | | | | |  | | | | | |
|  | | | Indicate which question (s) you answered Yes to. | | | | | | | | | | | | | | |
| 3.4 | | 3.5 | | 3.6 | 3.7 | | | 3.8 | | | | 3.9 | | |
| 3.10 | | 3.11 | | 3.12 | 3.13 | | | 3.14 | | | | 3.15  3.16 | | |
| (If your organisation answered Yes to more than one question, you must copy and complete this section for each question and attach the completed sections to your application.) | | | | | | | | | | | | | | |
|  |  | | Name (person/company) | | | |  | | | | | | | | | | |
| Tick one  Director  Shareholder  Senior officer | | | | | | | | | | | | | | |
| Phone | | | |  | | | | | | | | | | |
| Mobile | | | |  | | | | | | | | | | |
| Fax | | | |  | | | | | | | | | | |
| Email (Free subscription email is not accepted.) | | | |  | | | | | | | | | | |
| Residential address | | | | | | | | | | | | | | |
| Street address | | | |  | | | | | | | | | | |
| Suburb/town | | | |  | | | | | | Postcode | | | |  |
| Australian Company Number (ACN) | | | |  | | | | | | | | | | |
| Australian Business Number (ABN) | | | |  | | | | | | | | | | |
| Former name (person/company if any) | | | |  | | | | | | | | | | |
| Date of birth | | | |  | | | | | | | | | | |
| Place of birth (town, state and country) | | | |  | | | | | | | | | | |
| Relevant details | | | |  | | | | | | | | | | |

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| Section 4 | | Details of scope of registration | | | | | | | | | |
| 4.1 | | Item on scope of registration | | | | | | | | | |
|  | | Refer to the training.gov.au website [(www.training.gov.au)](http://(www.training.gov.au)) to find the codes and titles of the relevant training package qualifications, individual units of competency (if your organisation does not intend to deliver a full qualification) and accredited courses your organisation wishes to deliver and/or assess. Enter these details into the table below. | | | | | | | | | |
| **Training package qualifications, units of competency and accredited courses to be listed on your organisation’s scope of registration** | | | | | | | | | | | |
| **Code** | **Title** | | | **Tick if assessment only** | **Multiple sites** | | | **\*Intended delivery A, B C and/or D** | | | |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
|  |  | | |  | Yes | | No | A | B | C | D |
| \*Key for intended mode of delivery  A=face-to-face at your organisation’s premises  B=face-to-face at workplaces  C=online only to residents of Victoria and/or WA  D=Delivery to under 18 | | | | | | | | | | | |
| Planned location of delivery of training and/or assessment services  Tick the box if your organisation intends to operate offshore (outside of Australia) and indicate the country(ies) you are proposing to operate in. | | | | | | | | | | | |
| Offshore/outside Australia | | | Name of country(ies) | | |  | | | | | |

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| 4.2 | Does your organisation intend to deliver training that leads to a licensed or regulated outcome? | Yes | No |
|  | Provide details |  |  |
| 4.3 | Does your organisation intend to have any third-party arrangements? | Yes | No |
| If you answered Yes, provide details of the arrangement |  | |
| 4.4 | Does your organisation intend to deliver any part of the accredited training to students under 18 years of age?  If you answered Yes, you must comply with the Child Safe Standards at Guideline 6, VRQA Guidelines for VET Providers | Yes | No |
| 4.5 | Does your organisation intend to collect fees in advance from students? | Yes | No |
| If you answered Yes, detail the measures that will be used to protect student fees paid in advance | | |
| 4.6 | Does your organisation intend on delivering training to overseas students studying in Australia? | Yes | No |
| 4.7 | Does your organisation intend on delivering training under an apprenticeship or traineeship contract? | Yes | No |
| 4.8 | Do you consent to the personal information submitted in this application being disclosed to officers of DET’s Higher Education and Skills Group if you are receiving or make an application to receive government funding? | Yes | No |

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| Section 5 | Phase 1 and Condition 2 of registration—evidence required |

The following must be completed and signed by the PEO with all the required documentation attached:

* Appendix 1 Evidence required for Phase 1 assessment (see pages 26-38)
* Appendix 2 Australian Quality Training Framework – Condition 2 of registration (see page 39).

### Phase 1

This phase will involve an assessment of your organisation's compliance with Guideline 1: Governance, Financial viability and Management systems of the VRQA Guidelines for VET Providers. The criteria your organisation will be assessed against include, but may not be limited to:

1. strategic plan
2. business plan
3. certified three-year financial forecast, including financial indicators
4. financial management systems and student fees
5. confirmation that your organisation's principal purpose is education.

### Australian Quality Training Framework Condition 2 – Interactions with the registering body

It is a requirement that an application for initial registration be accompanied by a self-assessment report of the applicant’s compliance with the [RTO Standards](https://www2.vrqa.vic.gov.au/standards-and-guidelines-registered-training-organisations). The purpose of this requirement is to confirm to both the applicant and the registering body that the applicant has the capability to operate effectively as an RTO on registration.

The report must describe the evidence demonstrating compliance.

The self-assessment report template can be accessed on our website, see:

* [Submitting an application](https://www2.vrqa.vic.gov.au/register-rto)

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| Section 6 |  |  |

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| Statutory declaration | | | |
| I |  | (Full name of Principal Executive Officer) | |
| of |  | (Legal entity registered) | |
|  |  | (RTO number or TOID) | |
|  | do solemnly and sincerely declare that: |  | |
|  | * I have read and understood the VRQA Guidelines for VET Providers and the obligations imposed on entities registered as registered training organisations under Part 4.3 of the *Education and Training Reform Act 2006* and the RTO Standards (as that term is defined in the *Education and Training Reform Act 2006*) * The strategic plan submitted with this application has been prepared and approved by the Board of Directors or Governing Body of the organisation * The business plan and financial forecasts submitted with this application has been prepared and approved by the Board of Directors or Governing Body of the organisation; and reviewed and certified by a qualified accountant. * I have provided the VRQA with all relevant information about the individuals who will be involved in the management of, and/or provision of courses by, my organisation to enable the VRQA to ascertain whether any such individual meets any of the descriptions listed in section 4.3.11(2) of the *Education and Training Reform Act 2006* * I am satisfied that I, along with all directors, senior officers and substantial shareholders who are in a position to influence the management of my organisation, satisfy the requirements in Section 3 of this application * My organisation complies with the principal purpose requirement as set out in section 4.3.16(3)(bb) of the *Education and Training Reform Act 2006* or is otherwise exempt * My organisation does not have an application for registration lodged with any other registering body including the Australian Skills Quality Authority * My organisation will not, in the immediate future (12 months), deliver courses to international students and/or in another Australian State or Territory (other than Victoria or Western Australia) including those delivered online or by distance education * All information provided in this application and Appendix 1 and 2 is true and correct * This declaration is true and correct and is made in the belief that a person making a false declaration is liable to the penalties of perjury. | |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| x |  | | | | (signature of person making this declaration) | |
| Declared at | |  | | | | (location of signing) |
| in the State of Victoria on | | | / / 20 |  | | |

To be completed by an authorised witness\*

I am an authorised statutory declaration witness and I sign this document in the presence of the person making the declaration:

|  |  |  |  |
| --- | --- | --- | --- |
| X |  | (signature of person making this declaration) | |
|  |  | | (witness name) |
|  |  | | (address) |
|  |  | | (authority to witness) |

\*A person authorised under section 30(2) of the *Oaths and Affirmations Act 2018* to witness the signing of a statutory declaration. The authorised witness must write, type or stamp their name, the capacity in which they have authority to witness a statutory declaration, and their address.

The *Oaths and Affirmations Act 2018* requires additional declarations or certifications to be made if:

* the declaration is translated or read to the person making the declaration
* the declaration is signed electronically
* copies of documents are attached to the statutory declaration
* the declaration is made or witnessed using an audio‑visual link.

This form is not pre-filled to meet the requirement for these additional declarations.

For more information about additional formal requirements or for a list of authorised persons who may witness statutory declarations under section 30 of the *Oaths and Affirmations Act 2018*, see:

* [www.justice.vic.gov.au/statdecs](http://www.justice.vic.gov.au/statdecs)



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| Section 7 Checklist to Form A Ensure you have completed the checklist below and attached all required documentation to your organisation's application before submitting it to the VRQA. | | | | | |
| **Sections** | | **Tasks** | | **Tick** | **N/A** |
| Section 1 | | Complete and accurate responses have been provided to all questions 1.1 – 1.10 | |  |  |
| Certificate of Registration of a Company and full names and addresses of all directors | |  |  |
| or |  |  |  |
| Certificate of Incorporation | |  |  |
| 1.3 |  | Business Name Summary from ASIC Connect | |  |  |
| 1.4 |  | Attach application for Ministerial exemption | |  |  |
| 1.8 | | Valid Police check for principal executive officer (if the person is not a director of the legal entity) | |  |  |
| and | |  |  |
| Working With Children check (if in regular and direct contact with children under 18) | |  |  |
| 1.9 |  | Valid Police Check for Registration Contact VET | |  |  |
| and | |  |  |
| Working With Children check or Victorian Institute of Teaching registration (if in regular and direct contact with children under 18) | |  |  |
| Section 2 | | Complete and accurate responses have been provided to all questions for each person who is a director, shareholder and senior officer. | |  |  |
| For each director and senior officer: | | | |
| Valid police check | |  |  |
| Valid Working With Children check or Victorian Institute of Teaching registration (if in regular and direct contact with children under 18) | |  |  |
| Qualifications and educational experience held by this person that are relevant to influencing the management of the RTO | |  |  |
| Section 3 | | Complete and accurate responses have been provided to all questions 3.1 – 3.16 | |  |  |
| 3.1 |  | Details if you have more than one registered or associated RTO | |  |  |
| 3.4 – 3.16 | | Details for each question with a Yes response | |  |  |
| Section 4 | | Complete and accurate responses have been provided to all questions 4.1 – 4.8 | |  |  |
| Section 5 | | Evidence which is referenced against the Phase 1 assessment requirements (Appendix 1) | |  |  |
| Self-assessment report which describes the evidence demonstrating compliance (Appendix 2) | |  |  |
| Section 6 | | The declaration has been completed in full by the PEO, witnessed and dated | |  |  |

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| |  | | --- | | Appendix 1–Evidence required for Phase 1 assessment Delivery of VET Courses | | The following checklist prescribes the information you need to submit for Phase 1 assessment of your application. The level of detail in the table below is to ensure no information is omitted. Please note that the Phase 1 assessment will not commence until all required information has been received. **To complete this document please refer to the notes below**: The checklist includes 12 sections that have been mapped to the VRQA Guidelines for VET Providers.  Please forward all information electronically and include this checklist with your submission referencing each of the 13 requirements to the appropriate file containing the requested information.  The formats for the submission are as follows:   * Financial information – Microsoft Excel * Other information – Microsoft Word or PDF   Where information is submitted in Microsoft Word, paragraphs within the document should be numbered and the required information should be cross-referenced to the file name and paragraph number.  **For example**  Requirement 1 Strategic Plan information a. Overall Vision and Mission - refer Req1.doc paragraph 15 – 17  Requirement 1 Strategic Plan information b. Board of Directors – refer Req1.doc paragraph 25 | | | | | | | |
| Requirement | Guideline1 | Information required | Detailed requirements | **File reference2**  File name • Para Ref3 | VRQA checklist (for VRQA use only) |
| 1 | 1.1 | Approved current strategic plan | The strategic plan should contain the following: |  |  |
| 1. overall vision and mission |  |  |
| 1. board of Directors |  |  |
| 1. strategic direction |  |  |
| 1. primary purpose is provision of vocational education |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed** **requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist** (for VRQA use only) |
| 2 | 1.1 | Approved business plan | The business plan should contain the following: |  | |
| 1. Description of the business including organisational charts, courses, locations and facilities. |  |  |
| 1. Continuous improvement plan or risk management strategy. |  |  |
| 1. A work force development plan. |  |  |
| 1. Details of any strategic alliance with other education or service providers or third-party arrangements. |  |  |
| 1. Training and assessment delivery including proposed facilities and delivery hours. |  |  |
| 3 | 1.2 | Three-year financial plan | The financial plan must be a fully integrated three-dimensional model and must contain the following: | | |
| 1. Fully integrated cash flow, profit and loss and balance sheet (Microsoft Excel spreadsheet) by month for the first financial year and annually thereafter.   The profit and loss statement and balance sheet should be prepared on an accrual basis. |  |  |
|  | 1. Explanatory document outlining key assumptions underpinning the financial plan. |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed** **requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist** (for VRQA use only) |
| 3 | 1.2 | Three-year financial plan | 1. Projection of student enrolments by qualification per year (including student numbers and course fees). This should reconcile to the profit and loss statement. |  |  |
| 1. Detailed market analysis and other information to support projected student enrolment numbers. |  |  |
| 1. Financial indicators (Excel spreadsheet):  * cash flow * current ratio * debt ratio * creditor and debtor days. |  |  |
|  | 1. Details of estimated or actual start-up costs reconciled to the Financial Plan (Excel spreadsheet). |  |  |
| 1. Detailed documentation supporting the forecasts of major expense items including:  * salaries and wages * rent * Tuition Assurance Scheme (TAS). |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed** **requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist** (for VRQA use only) |
| 3 | 1.2 | Three-year financial plan | 1. Details of guarantees and other financial support available to the RTO including:  * extent amount ($) * nature of such guarantee and/or support (e.g. personal guarantee, bank guarantee, line of credit, mortgage over property etc.). |  |  |
| 1. Details of any guarantees or other financial commitments provided by the RTO to any party.   The Financial Plan should be consistent with the entity’s Business Plan.  In accordance with condition 5 of the RTO Standards, the financial plan should be certified by a qualified accountant. |  |  |
| 4 | 1.2 | Details of senior management group | 1. Information on any person involved in management or provision of services by the organisation who meet any of the descriptions below (refer section 4.3.11(2) of ETR Act):  * has ever had their registration under Division 4.3 of the ETR Act suspended or cancelled * has ever had conditions imposed on their registration under Division 4.3 of the ETR Act * has ever been convicted of an indictable offence |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed requirements** | **File reference**  • File Name • Para Ref File Name • Para Ref | **VRQA checklist (for VRQA use only)** |
| 4 | 1.2 | Details of senior management group | * has ever become bankrupt, or taken the benefit of any law for the relief of bankrupt debtors, compounded with their creditors or made an assignment of their property for their benefit * has ever been disqualified from managing a corporation under Part 2D.6 of the *Corporations Act 2001* * was involved in the provision of courses by another person or body who is covered by paragraphs above at the time of the events that gave rise to the relevant prosecution or other action |  |  |
| 5 | 1.2 | Additional financial information for **existing businesses** (i.e. organisation that has commenced operations) | 1. Current ATO Tax Portal  * due date * date of EFT/cheque was presented * information outlining if the organisation has ever been in arrears in terms of any ATO debt and information regarding payment plans. |  |  |
| 1. The last three payments made to superannuation funds, including their:  * due date * the date of EFT/cheque was presented. |  |  |
| **Requirement** | **Guideline** | **Information required** | **Detailed requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist (for VRQA use only)** |
| 5 | 1.2 | Additional financial information for existing businesses | 1. Information regarding the lease agreement(s) for each of premises the provider holds including:  * copies of each lease agreement * the total amount of repayments owing * the remaining term for each of the lease agreements * the last three rent payments, including their due date and the date of EFT/cheque was present. |  |  |
| 1. Aged creditor and debtor reports for the most current month end and most recent financial year end. |  |  |
| 1. Current employee numbers spilt into full time, part time, casual. |  |  |
| 1. Details of all bank accounts, (including loan/overdraft accounts), including  * current bank balance * approved facility limit (if a loan account / overdraft account) * bank balance as at most recent financial year end and as at most recent month end * bank reconciliation as at most recent financial year end and as at most recent month end. |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist** (for **VRQA** use only) |
| 5 | 1.2 | Additional financial information for existing businesses | 1. Details of any further access to funding that the business may have, including bank loans, director loans, capital injection and/or personal guarantees. |  |  |
| 1. Details of all insurance policies (e.g. Public Liability Insurance), including date of expiry and copies of the certificate of currency. |  |  |
| 1. Detail any unresolved legal disputes or litigation against the provider and include the contact details of the provider’s legal advisors. |  |  |
| 1. A copy of the last two years signed financial statements and the last two financial years management accounts and current year to date management accounts, including profit and loss, balance sheet, cash flow statement and Notes to the accounts. |  |  |
| 1. Provide full contact details of any external accounting advisors (e.g. audit, tax or management accounting assistance). |  |  |
| 6 | 1.3 | Information management | Please provide the following information: | | |
| 1. evidence of company incorporation in Australia or of being an incorporated body in receipt of government funds |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist (for VRQA use only)** |
| 6 | 1.3 | Information management | 1. physical address of company in Victoria for service of notices |  |  |
| 1. names of directors, PEO and senior management members/high managerial agents with associated police checks and Working With Children Checks if students are under 18 years of age. |  |  |
|  | 1. evidence of:    1. fit and proper person declarations for CEO/PEO and all senior management members/high managerial agents; and    2. fit and proper declarations being conducted prior to employment and fit and proper status is confirmed annually. |  |  |
|  | 1. evidence of at least one director or PEO having their primary residence in Victoria |  |  |
| 1. contact details of PEO during business hours and during holidays and other close down periods. |  |  |
| 1. Physical addresses of the location of financial, student and staff records including archives and computer back up storage. |  |  |
| 7 | 1.3 | Financial management systems | Please provide information on the financial management systems used by the RTO including its capacity for managing student fee payments and student refunds. |  |  |
| 8 | 1.3 | Student records management system | Provide information on student records management system to:   * demonstrate the capacity to provide the VRQA with AVETMISS compliant data * ensure student records are not able to be withheld from the organisation * indicate that system has the ability to provide electronic and print versions of student records at no cost to the VRQA in the event the organisation ceases operations. |  |  |
| **Requirement** | **Guideline** | **Information required** | **Detailed requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist (for VRQA use only)** |
| 9 | 1.3 | Staff records management | Written confirmation that the records management system has the capacity to hold information for training and assessment staff. (Refer Guideline 1.3 for details of information required).  Confirmation may include system specifications or screen dumps of records management system. Any copies of information provided must be certified as true copies.  During Phase 2 of the audit process evidence of the system capacity will be verified. |  |  |
| 10 | 1.3 | Student fees received in advance | Please detail the mechanisms for securing student fee payments for the period from receipt of funds to the students’ commencement of studies. |  |  |
| 11 | 1.4 | Governance structure | **Please provide the following information concerning the governance structures of the RTO:** | | |
| 1. overall governance arrangements and ownership |  |  |
|  | 1. details of Board of Directors, governing council, academic board, executive management and/or academic management |  |  |
| 1. qualifications and educational experience of the PEO and members of the RTO’s senior management team |  |  |

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| **Requirement** | **Guideline** | **Information required** | **Detailed requirements** | **File reference**  • File Name • Para Ref | **VRQA checklist (for VRQA use only)** |
| 11 | 1.4 | Governance structure | 1. membership of committees established to oversee academic/educational integrity and assure quality. |  |  |
| 12 | 1.4 | Academic / educational governance arrangements | Evidence required:   * independent individual, Boards or committees providing access to expertise to ensure integrity in the educational process and standards are consistent with industry and education expectations. * may include: * the nomenclature * terms of reference * membership details including names, qualifications and experience of properly constituted academic/educational and/or industry advisory boards and committees. |  |  |
| 13 |  | Statutory Declaration | Please complete and return the Statutory Declaration in Section 6. |  |  |
| 14 |  | Declaration regarding completeness of application. | Please complete and return the declaration attached to this letter acknowledging your obligations to submit all requested evidence. |  |  |

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| Applicant to complete | |  | |  |
| All required evidence of compliance for the Phase 1 assessment has been included. I understand that an application submitted without a completed checklist and/or without evidence for the Phase 1 assessment will be considered incomplete and returned to me. | | | | |
|  |  | | (Principal executive officer signature) | |
|  | / / 20 | | (Date) | |
|  | | | | |

# Appendix 2—Australian Quality Training Framework

## Condition 2 of registration

The following information is required to be submitted with Form A for the assessment of your application against Condition 2 of registration in the Australian Quality Training Framework Essential Conditions and Standards for Initial Registration (RTO Standards).

|  |  |  |  |
| --- | --- | --- | --- |
| Condition 2—Interactions with the Registering Body | | | Description of Evidence provided |
| A thorough self-assessment report of the organisation’s compliance with the RTO standards. The report must describe the evidence demonstrating compliance. An Initial Registration Self-Assessment Report template is available to download at:   * [www.vrqa.vic.gov.au/VET/Pages/submitting-an-application.aspx](https://www2.vrqa.vic.gov.au/register-rto) | | |  |
| Applicant to complete | |  | |
| All required evidence of compliance for the Phase 1 assessment has been included.  I understand that an application submitted without a completed checklist and/or without evidence for the Phase 1 assessment will be considered incomplete and returned to me. All required evidence of compliance against the Condition 2 of registration has been itemised.  I understand that an application submitted without a completed checklist and/or without a description of evidence demonstrating compliance will be considered incomplete and returned to me. | | | |
|  |  | (Principal executive officer signature) | |
|  | / / 20 | (Date) | |