

Amendment to Registration Application Guide

About this Guide

This guide explains the information to assist your Registered Training Organisation (RTO) prepare an application to add training package qualifications, units of competency and/or accredited courses to your registration.

RTOs use the RTO2 Application for Amendment to Registration to:

- **add** Training Package qualifications, units of competency or accredited courses to its scope of registration
- **remove** Training Package qualifications, units of competency or accredited courses from its scope of registration
- replace superseded Training Package qualifications and units of competency with non-equivalent Training Package qualifications and units of competency
- replace a replaced/expired accredited course with the new accredited course
- change from an assessment only service to offering a training and assessment service

Do **not** use this form if you are applying to renew your registration and, at the same time, you want to add to your scope of registration. You only need to submit the *RTO1b: Application for Renewal of Registration*.

Please note, when a superseded Training Package qualification or unit of competency is replaced with a training product that the Training Package has determined as being equivalent the equivalent Training Package qualification or unit of competency will be automatically added to the RTO's scope of registration without requiring an application or a fee.

An RTO must ensure that it meets the legislative and licensing requirements relevant to its registration.

All applicants must comply with the requirements of:

- Standards for Registered Training Organisations (RTOs) 2015*
- The Vocational and Education and Training Act 1996*; and
- All guidelines for RTOs issued by the Training Accreditation Council

Registering Body Compliance

The Training Accreditation Council (the Council) must comply with the *Vocational Education and Training (General) Regulations 2009* and *Standards for VET Regulators 2015*. A copy of the Standards and Regulations is available from the TAC website at: www.tac.wa.gov.au.

Information Sharing

Information collected by the Council is used for the primary purpose of the Council undertaking its functions outlined in the *Vocational Education and Training Act 1996*. The information collected may be provided to relevant government agencies for secondary purposes that are directly related to, or provide benefit to the Council's primary function of quality assuring vocational education and training in Western Australia.

Amendment to Registration applications can be submitted to TAC Secretariat by:

Online: created through [RTO-Portal](#)

Post: Locked Bag 16
OSBORNE PARK DC WA 6916

Email: tac@dtwd.wa.gov.au

Hand Deliver: Level 9, 20 Walters Drive
OSBORNE PARK WA 6017

Application process

Once an application is received at the Training Accreditation Council (TAC) Secretariat, a desktop review will be conducted to determine the amendment to registration category and whether further information is required.

On completion of the desktop review all applications will then undergo a risk assessment, in line with the *National Guideline for Risk Management*.

The risk assessment determines if an audit is required and if so whether it will be a desk audit or site visit.

An invoice for your amendment to registration application will be forwarded to you. Once the application has been processed and an invoice has been raised, payment is required. Applications will not be submitted to TAC until payment has been made. For a list of amendment categories and applicable fees visit the [TAC website](#).

Please note: All fees are non-refundable and payment must be received by the due date.

Replacing superseded qualifications, units of competency or accredited courses

Equivalent – Training Package qualifications or units of competency

The TAC Secretariat will automatically update your scope for all Training Package qualifications or units of competency that have been determined equivalent in the Training Package and no application form is required.

Equivalent – Accredited courses

If an RTO is replacing an accredited course, currently on delivery, with an accredited course that has been determined as equivalent, the RTO is required to submit an *RTO2 Form Application for Amendment to Registration* to the TAC Secretariat with evidence of copyright approval.

Not Equivalent

Submit an *RTO2 Form – Application for Amendment to Registration* to the TAC Secretariat with supporting evidence.

RTO's must manage the transition from superseded Training Packages within 12 months of the publication on TGA (training.gov.au) as outlined in Clause 1.26 and 1.27.

Where the summary mapping indicates that the qualification/unit is not equivalent RTOs will be required to submit supporting evidence with the application, as outlined in this application guide.



Further information on managing the transition from superseded training products is available in clause 1.26 and 1.27 of the User's Guide on the *Standards for RTOs 2015*

Supplementary risk indicator questionnaire

TAC is responsible for the quality assurance of training delivery and assessment conducted by RTOs in Western Australia. Under the *Standards for RTOs*, a risk assessment must be undertaken to determine whether an audit is required and the type of audit to undertaken (e.g. desk or site visit).

The supplementary risk indicators make up a part of the risk assessment as they relate to specific risks that may arise from aspects of each RTO's operations. These indicators help further determine the scheduling and scope of regulatory arrangements.

The response to the supplementary risk indicator questionnaire should only relate to the qualification/units of competency/accredited course being applied for in the application.

If you answer "yes" to the question 'Does your organisation intend to take fees in advance?', please refer to Schedule 6 of the *Standards for RTOs*, and identify which option you are using to protect student fees paid in advance.



Further information on fees is available in Clauses 5.3, 7.3 and Schedule 6 of the Users' Guide on the *Standards for RTOs 2015*

Completing an Application to Amend Registration

1. Generating an amendment to registration application.

Amendment to registration applications can be generated through RTONet or by completing the RTO2 Application for Amendment to Registration form, which can be downloaded from the TAC website at <http://www.tac.wa.gov.au/registration/Pages/Application-forms.aspx>.

The RTO2 form specifies the qualifications, delivery sites and delivery modes for the qualifications, units and/or accredited courses requested.

The legally responsible person or registration contact must complete the online application or sign the form, which is confirmation that all relevant *Standards for RTOs* have been met when developing materials that relate to the application. The application will also need to be signed by a witness. The witness is not required to be an employee of the RTO.

If you intend to provide an assessment service (that is, recognition of prior learning rather than a full training and assessment service) for any of the training package qualifications, units of competency and/or accredited courses listed, you will need to indicate this against each item.

If you wish to amend your scope to include the capacity to train (that is from an 'assessment only' service to 'training and assessment') for any qualification/unit of competency/accredited course you will need to apply to TAC as an amendment to scope. You are also required to provide evidence to support your application.

Please ensure that you are "ready to go" for the scope applied for in the application – you should be able to demonstrate compliance with the *Standards for RTOs*.

2. Evidence to support your application

The following evidence is required to be submitted with your application:

- A list of staff who will deliver and assess all of the qualifications/units and accredited courses applied for, and evidence that they have the appropriate training and assessment and vocational competencies;
- Strategies for training and assessment for all qualification(s), unit(s) of competency or accredited course(s) applied for;
- A validation schedule for each qualification(s), unit(s) of competency or accredited course(s) applied for;
- Assessment instruments for two industry specific units of competency for the highest qualification or accredited course in each industry area. If you are applying for units only, include assessment instruments for at least two units in each industry area. Include high risk units if any that have been identified by industry; and
- Evidence of copyright approval for accredited course/s if applied for.

Please note the following:

- RTONet allows for electronic evidence to be attached with your application.
- Further evidence or clarification may be requested during the application process.

Amendment to registration – audit subset of the *Standards for RTOs*

Any amendment to registration that undergoes an audit will be audited against the following subsets of the *Standards for RTOs*:

Standard	Clause	Description
Standard 1	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 1.9, 1.10, 1.11, 1.12, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20	Training and assessment strategies and practices Validation Industry relevance Assessment Trainers and assessors Supervision arrangements Learner Support
Standard 5	5.1, 5.3	Learners are properly informed and protected

Where it is applicable the following Clauses may also be audited:

Standard	Clause	Description
Standard 1	1.21	Delivery from the Training and Education Training Package
Standard 2	2.1, 2.3, 2.4	When delivery occurs on the RTOs behalf by a third party
Standard 7	7.3	The RTO takes fees in advance
Standard 8	8.5	Legislation and regulatory requirements

The auditor may also include any other clause if it is warranted.

Audit Process

Where the risk assessment indicates an audit is required, you will receive notification of the audit and the allocated auditor. You will be requested to advise the TAC Secretariat of any conflict of interest with the auditor.

Site Audit:

For a site visit, the auditor will make contact with the organisation to schedule a mutually convenient time for the audit. At the audit the RTO will be required to provide evidence to demonstrate compliance against the above Clauses.

Desk Audit:

For a desk audit, you will receive notification via email. This email will request further evidence to be sent directly to the auditor by a specific date (usually 5 working days) to allow the auditor to conduct an audit against the above Clauses. It is up to the RTO to determine what evidence it has to demonstrate compliance with the *Standards for RTOs*. The evidence provided should be clearly presented as the auditor is not able to make interpretations of the evidence and which elements the evidence addresses.

If the evidence is not provided to the auditor by the nominated date, the auditor will conduct the audit against the *Standards for RTOs*, based on the evidence submitted with the application. Any non-compliances will be reported through the established audit process and RTO's will have an opportunity to respond in the evidence review period.

The following is a guide to evidence the RTO may wish to provide to the auditor for the conduct of the desk audit, however is not exhaustive or prescriptive. For further detailed information on the below Clauses please refer to the *Standards for RTOs 2015 User's Guide*.

Clause 1.1 - 1.4 1.7 - 1.12	<ol style="list-style-type: none"> 1. Strategy for training and/or assessment for each qualification, course or unit of competency applied for (if not already provided) which demonstrates that the requirements of the Training Package or accredited course are met; 2. A detailed validation schedule for each training product for the five year period; 3. Details and evidence of the facilities and equipment, training and assessment materials, and amount of training, the RTO has in place to demonstrate capacity for the delivery and assessment of delivery applied for and consistency with the requirements of the Training Package or accredited course, as well as RTO's own training and assessment strategy 4. Assessment tools/process for at least two units of competency for each qualification applied for which demonstrates that: <ul style="list-style-type: none"> • requirements of the relevant training package or accredited course are met • assessment is conducted in accordance with the principles of assessment and the rules of evidence • assessments meet workplace and, where relevant, regulatory requirements • assessments are systematically validated 5. Training materials for the same two units that assessment materials have been provided for (if applicable) 6. How support needs of individual learners are identified and addressed 7. Evidence of how any simulated assessment environments will meet the requirements of the Training Package or accredited course 8. RPL is offered to individual learners
Clause 1.5-1.6	Evidence of what industry consultation has been undertaken in relation to the development of the training and assessment practices and trainer and assessor industry currency

Clause 1.13 - 1.20	<p>For each nominated trainer and/or assessor:</p> <ul style="list-style-type: none"> evidence of training and/or assessment competencies evidence of relevant vocational competencies against all of the qualifications/units indicated they will deliver/assess evidence of current industry skills relevant to training applied for evidence that professional development has occurred <p>Evidence to demonstrate what arrangements are in place for when individuals are working under the supervision of a trainer and evidence that the supervisor is appropriately qualified.</p>
Clause 5.1, 5.3	<p>Evidence provided to learners prior to enrolment or commencement of training and assessment, whichever comes first, in relation to:</p> <ul style="list-style-type: none"> training products appropriate to meeting the learner's needs; and fee information.
Clause 1.21	<p><i>If Applicable</i></p> <p>If any training and/or assessment in this application is a qualification or skill set from the Training and Education training package, all trainers and assessors must</p> <ul style="list-style-type: none"> Hold the training and assessment qualification at least to the level being delivered; or Have demonstrated equivalence of competencies <p><i>Please note an RTO is required to be registered for 2 years before it can be registered to deliver any qualification or assessor skill set from the Training and Education Training Package.</i></p>
Clause 2.1, 2.3, 2.4	<p><i>If Applicable</i></p> <p>If any training and/or assessment in this application will be delivered on the RTO's behalf, demonstrate;</p> <ul style="list-style-type: none"> how the RTO will systematically monitor the arrangement to ensure compliance against the <i>Standards for RTOs</i> is maintained RTO3 – Notification of Third Party Agreement form.
Clause 8.5	<p><i>If Applicable</i></p> <p>Evidence of compliance with Working with Children legislation (if application indicates RTO delivers/intends to deliver to learners under 18) and/or any other legislation that is applicable to the training and assessment applied for</p>
Clause 7.3	<p><i>If Applicable</i></p> <p>Evidence of protection of fees paid in advance (if application indicates RTO collects/intends to collect fees in advance)</p>
Other	Please include copies of relevant policies or procedures mentioned in any of the evidence listed above

Please note:

- The Auditor may request additional evidence to support your application.
- The Auditor may also audit and report on other Standards and Conditions if warranted.



Further information on these clauses is available in the Users Guide on the *Standards for RTOs 2015*

Submitting your application

It is essential that your application is complete and correct prior to submission to TAC. Applications which are incomplete or do not have the required supporting evidence may be returned to the applicant for re-submission at a later date.

The following checklist will assist you in ensuring your application is complete prior to submission.

1. Are all sections of the application form complete and accurate?	<input type="checkbox"/>
2. Is the application signed by the legally responsible person and witnessed?	<input type="checkbox"/>
3. Is all supporting evidence/information included with the application?	<input type="checkbox"/>
4. Do you have supporting evidence ready to demonstrate compliance with the <i>Standards for RTOs</i> ?	<input type="checkbox"/>
5. Have you retained a copy of the application form and any attachments for your records?	<input type="checkbox"/>