

# TACguide

## Amendment to Registration Application Guide and Checklist

### About this Guide

This guide contains information to assist your RTO prepare an application to add training package qualifications, units of competency and/or accredited courses to your registration.

RTO's must ensure that it meets the legislative and licensing requirements relevant to its registration. Information about the relevant legislative and licensing requirements can be found in Training Packages or through the appropriate [Training Council](#)

It is the RTO's responsibility to ensure that compliance with the Australian Quality Training Framework (AQTF) Essential Conditions and Standards for Continuing Registration is maintained. If non-compliance with the AQTF Standards is identified during a review/audit process, an application for a change to the RTO's registration will not be processed until corrective action is taken and the RTO is deemed to be compliant with all AQTF standards. [Operating Protocol 2.6 AQTF Standards for State and Territory Registering Bodies.]

**Amendments to registration can now be completed on-line**

Log on to RTONet via [www.tac.wa.gov.au](http://www.tac.wa.gov.au)

Please note that only the legally responsible person and registration contact can create applications on-line

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*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.*

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### 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.

The following table identifies the categories for amendment to registration and the associated fees.

#### Amendment to Registration Fees as at 1 July 2011

1	Within an industry area and sub-industry area which the RTO is currently registered for.	a	Within current range of qualification	\$0
		b	Adding 1 AQF level higher	\$315
		c	Adding more than 1 AQF level higher	\$605
2	To a similar sub-industry area, within an existing industry area which the RTO is currently registered for. E.g. sheep to horse breeding; information technology (systems administration) to information technology (network administration)	a	Within current range of qualification	\$315
		b	Adding 1 AQF level higher	\$315
		c	Adding more than 1 AQF level higher	\$605 for each sub industry area
3	To a different sub-industry area within an existing industry area which the RTO is currently registered for. E.g. grain production to shearing; accounting to conveyancing.	a	Within current range of qualification	\$605
		b	Adding 1 AQF level higher	\$605
		c	Adding more than 1 AQF level higher	\$1220; plus \$605 for additional industry areas
4	To a different industry area. E.g. agriculture to hospitality; general construction to civil construction.	Adding a different industry area		\$1220; plus \$605 for additional industry areas

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.

**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

Submit an RT02 form – Application for Amendment to Registration to the TAC Secretariat.

RTO's must manage the transition from superseded Training Packages within 12 months of the publication on the National Training Information Service (NTIS) as outlined in Condition of Registration 9 – Transition to Training Package/expiry of accredited courses.

RTO's should refer to the summary mapping in the Training Package to determine equivalency. Where the summary mapping indicates the qualification/unit is equivalent RTO's must notify TAC that it has moved across to the new qualification/unit using the RT02 Amendment to Registration application form. No supporting evidence is required to be submitted with the RT02 application form. However your Case Manager may contact you for further information if required. Please note that it is expected that when you apply, your organisation is prepared to commence delivery on approval of the application.

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

### Supplementary risk indicator questionnaire

TAC is responsible for the quality assurance of training delivery and assessment conducted by RTO's in Western Australia. Under the AQTF 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 it relates 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 take/intend to take fees in advance?', under current transition arrangements, you must elect to choose an option from those outlined in Condition 5 of the *AQTF Essential Conditions and Standards for Continuing Registration*.

## 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/ToolBox\\_ApplicationForms.html](http://www.tac.wa.gov.au/ToolBox_ApplicationForms.html)

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 AQTF Standards 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 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 AQTF Essential Conditions and Standards for Continuing Registration.

## 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;
- 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:

- If you are applying to replace superseded qualifications, units of competency and/or accredited courses, which have been identified as equivalent in the Training Package summary mapping, no evidence is required to be submitted with the application.
- 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 AQTF Standards

Any amendment to registration that undergoes an audit will be audited against the following subset of the AQTF Essential Conditions and Standards for Continuing Registration:

- Element 1.2 – Strategies for training and assessment;
- Element 1.3 – Facilities, resources and materials;
- Element 1.4a, b, c – Qualifications of Trainers and Assessors;
- Element 1.5 – Assessment;
- Element 2.4 – Employer engagement;
- Element 3.3 – Partnership arrangements (if applicable);
- Condition 3 – Compliance with Working with Children Legislation (if applicable); and
- Condition 5 – Protection of fees paid in advance (if applicable).

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.

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 Elements.

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 Elements. It is up to the RTO to determine what evidence it has to demonstrate compliance with the AQTF Standards. 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 AQTF Standards, based on the evidence submitted with 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.

Condition 3	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
Condition 5	Evidence of protection of fees paid in advance (if application indicates RTO collects/intends to collect fees in advance)
Element 1.2	<ul style="list-style-type: none"> <li>• Strategy for training and/or assessment for each qualification, course or unit of competence applied for (if not already provided) which demonstrates that the requirements of the Training Package or accredited course are met</li> <li>• Evidence of what industry consultation has been undertaken in relation to the development of the strategy(s)</li> </ul>
Element 1.3	<ul style="list-style-type: none"> <li>• Details and evidence of the facilities, training and assessment materials and equipment the RTO has in place, or access to, to demonstrate capacity for delivery and assessment of qualifications/course/units applied for and are consistent with the requirements of the Training Package or accredited course, as well as RTO's own training and assessment strategy</li> <li>• Training materials for the same two units that assessment materials have been provided (if applicable)</li> </ul>
Element 1.4a,b,c	<ul style="list-style-type: none"> <li>• For each nominated trainer and/or assessor: <ul style="list-style-type: none"> <li>- Evidence of training and/or assessment competencies</li> <li>- Evidence of relevant vocational competencies against all of the qualification/units indicated they will deliver/assess</li> <li>- Evidence of current industry skills relevant to training applied for</li> </ul> </li> <li>• If nominated trainer/assessor does not have appropriate trainer and/or assessor competencies or demonstrated equivalent competencies, evidence of how the RTO complies with this element</li> </ul>
Element 1.5a,b,c,d	<ul style="list-style-type: none"> <li>• Assessment tools/process for at least two units of competency for each qualification applied for which demonstrates that: <ul style="list-style-type: none"> <li>- requirements of the relevant training package or accredited course are met</li> <li>- assessment is conducted in accordance with the principles of assessment and the rules of evidence</li> <li>- assessments meet workplace and, where relevant, regulatory requirements</li> <li>- assessments are systematically validated</li> </ul> </li> <li>• Evidence of how any simulated assessment environments will meet the requirements of the Training Package or accredited course</li> </ul>
Element 2.4	Evidence of how employers, workplace supervisors (for workplace based learning/assessment) or other parties involved in each learner's training and assessment have been consulted and/or engaged in the development of learning and assessment offered via this pathway (where applicable)
Element 3.3	If any training and/or assessment in this application will be delivered on the RTO's behalf, demonstrate how the RTO will monitor the arrangement to ensure AQTF compliance is maintained (this may include copy of MOU, agreement or other evidence as applicable)
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.

### 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 AQTF Standards?	<input type="checkbox"/>
5	Have you retained a copy of the application form and any attachments for your records?	<input type="checkbox"/>

Applications can be mailed or hand delivered to the TAC Secretariat at:

PO Box 1766  
OSBORNE PARK WA 6916

22 Hasler Road  
OSBORNE PARK WA 6017

Or created through RTO-Net.