

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 located in the RTO Portal 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- replace superseded Training Package qualifications and units of competency with non-equivalent Training Package qualifications and units of competency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Please note, when a superseded Training Package qualification or unit of competency is replaced with a training product that the Training Package has determined as being equivalent the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.

Application process

Amendment to Registration applications must be submitted to TAC through the [RTO Portal](#)

Once an application is received at the Training Accreditation Council (TAC) Secretariat, a desktop review is 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.

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

Amendment to Registration Fees

An invoice for your amendment to registration application will be generated at the completion of the online application. 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.

Amendment to Registration Fees		
Amendment to Registration Application	- One qualification	\$920
	Plus: - Each additional qualification	\$135
	- First seven units of competency	\$240 per unit
*For transition to equivalent training package qualifications or units of competency, no application is required, and no fees apply.	Plus: - Each additional unit	\$135 per unit
	Transition to equivalent accredited course(s)	\$240 for one application (includes any number of courses)

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 TAC with supporting evidence listed in the Self Assessment Tool Amendment to Scope.

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. 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*.

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.

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 for Amendment to Registration

Amendment to registration applications must be generated through the RTO Portal by the legally responsible person or registration contact.

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

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*.

Evidence to support your application

There is no set format to how you should provide the information. Information should be appropriate to the operations of your training organisation.

Please refer to the Amendment to Scope Application Self-Assessment Tool for the detailed list of supporting evidence to be included with your application.

No evidence (other than copyright approval) is required when an amendment is submitted to replace an accredited course, currently on delivery, with an accredited course that has been determined as equivalent.

If the risk assessment of the application determines an audit is required, you will be provided with an opportunity to provide additional evidence for audit against a subset of the *Standards for Registered Training Organisations (RTOs) 2015*.

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.

Please note the following:

- RTO portal 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, 1.5, 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	1.22-1.25	Delivery from the Training and Education Training Package
Standard 2	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 audit, you will be provided with an opportunity to submit further evidence to support your application prior to the date of the audit. Evidence is to be sent directly to the auditor by a specific date (usually 5 working days) to allow the auditor to commence a desktop review against the above Clauses prior to the site audit. It is up to the RTO to determine what evidence it has to demonstrate compliance with the *Standards for RTOs*.

the auditor will make contact with the organisation to schedule a mutually convenient time for the audit. During the audit, you are provided with an opportunity to submit further evidence to support your application.

Desk Audit: For a desk audit, you will be provided with an opportunity to submit further evidence to support your application. Evidence is 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*.

If no additional evidence is 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.

Please note:

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

Further information on these Clauses is available in the Users Guide on the *Standards for RTOs 2015*. The following is a guide to evidence the RTO should provide to the auditor for the conduct of the audit, however it is not exhaustive or prescriptive. For further detailed information on the below clauses please refer to the [Standards for RTOs User's Guide](#) and the [Amendment to Scope Application Self-Assessment Tool](#).

- Please note you are not required to re-submit any evidence detailed below that you have already submitted with your amendment application.

Clause 5.1, 5.3 (Recruitment & Enrolment)	<ul style="list-style-type: none"> • Pre-enrolment information such as course information, student handbooks • Fees and refunds information for students
Clause 1.3b, 1.7 (Support Services)	<ul style="list-style-type: none"> • List of support services you have identified for your intended students (unless this has already been included in your training and assessment strategies) • List of staff members, if any, nominated as contact persons for students seeking support, with details of their position in the RTO and the support role/s they will undertake
Clause 1.5, 1.6 (Industry Engagement)	<ul style="list-style-type: none"> • Contact details of industry organisations and/or individuals consulted in relation to each training product in your intended amendment to scope of registration, their input and how/if this was used to ensure the industry relevance of your training and assessment strategies and the current industry skills of your trainers and assessors. <p>(If this information has been included in your training and assessment strategies, a note to that effect will suffice. However, it is important to maintain and be able to present evidence if required, that supports any claims made.)</p>
Clause 1.1, 1.2 (Strategies for Training & Assessment)	<ul style="list-style-type: none"> • Training and assessment strategies for all qualifications, units of competency or VET accredited courses (training products) included in your amendment to scope application • If not included in your strategies, your rationale for the amount of training you will provide for the student cohort/s for each training product

	<ul style="list-style-type: none"> • For accredited courses: written approval from the Copyright owner to deliver the course and a copy of the accredited course document which will include all units of competency or modules developed for the course.
<p>Clause 1.3a, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20 (Trainers & Assessors)</p>	<ul style="list-style-type: none"> • A list of trainers and assessors for each of the training products included in your application, and their availability to be contacted during an audit either in person or via telephone. • Evidence that each trainer and assessor currently work for the RTO or has agreed to commence employment if the amendment to scope application is successful • Evidence that trainers and assessors have the required training and assessment credentials • Evidence that trainers and assessors have the required vocational competencies • Evidence that trainers and assessors have current industry skills, with the evidence also showing how the skills <u>directly</u> relate to the units of competency they will deliver and assess • Evidence of professional development in VET undertaken by and/or planned for trainers and assessors • Evidence of the arrangements in place for individuals working under the supervision of a trainer, including evidence of the supervisor's credentials, industry experience and currency (if applicable)
<p>Clause 1.3c, 1.3d, (Facilities, Equipment & Resources)</p>	<ul style="list-style-type: none"> • Lease agreements, hire agreements or ownership documents for training facilities or venue/s if these are additional to your current location/s • Local Government Authority approval for any additional educational premises (if applicable) • Workplace resource lists and agreements confirming access to facilities, equipment and the range of work directly related to Training Package requirements (for workplace delivery) • Delivery schedule for each delivery location (if not already included in the training and assessment strategies) • A list of learning resources that have been purchased or developed for each training product in the amendment to scope application with evidence that shows they address all requirements specified in the units of competency • Training materials for the same units of competency for which assessment materials are provided (see section below). Do not include copies of commercial resources– provide proof of purchase instead. • Evidence that you have access to the required plant and/or equipment or PPE for all training products, and evidence to show how you confirm it to be fit for purpose prior to use – evidence may be in any form such as photos, documents, agreements, etc

<p>Clause 1.8, 1.12, 1.4, 1.9, 1.10, 1.11 (Assessment)</p>	<ul style="list-style-type: none"> • A complete <u>list</u> of assessment tools to be used for each unit of competency/module/cluster of units included in the application, with <u>all</u> these tools available on request • If your application includes qualifications: Assessment tools for at least <u>two</u> units of competency for each qualification in the application, including high risk units if applicable • If your application includes individual units of competency: Assessment tools for at least two units in each industry area, including high risk units if applicable (if mandatory assessments must be used, evidence that these have been obtained from the regulator) • RPL kit/tools for one qualification or two units of competency • A validation plan and schedule that includes all qualifications and units of competency or VET accredited courses included in the application. This may be in the form of an addition to your existing 5-year validation schedule.
<p>Clause 2.3, 2.4 (Third Parties – if applicable)</p>	<ul style="list-style-type: none"> • List of all third parties, with contact names, positions, phone numbers and the service/s they provide • Copies of agreements with all third parties • Strategies to monitor third parties • Completed forms for each third party: TAC Form RTO3 – Notification of Third Party Agreement form.
<p>Clause 1.22, 1.23, 1.24, 1.25 (TAE Training – if applicable)</p>	<ul style="list-style-type: none"> • Evidence that proposed trainers and assessors, including those nominated as supervisors, for TAE training products have the required TAE credentials • Evidence of supervision arrangements, if applicable, including name/s of supervisor/s and their credentials • A complete list of assessment tools to be used for each unit of competency/cluster of units included in the TAE qualification or skill set, with all these tools available on request • All assessment tools for the following units of competency: <ul style="list-style-type: none"> - TAEASS403 Participate in assessment validation - TAEASS502 Design and develop assessment tools - TAEDEL401 Plan, organise and deliver group-based learning - TAEELN411 Address adult language, literacy and numeracy skills • Evidence of the conduct and outcomes of independent validations undertaken, including details about the independent validator/s, their credentials and experience.
<p>Clause 7.3 (Fees in advance – if applicable)</p>	<ul style="list-style-type: none"> • Evidence of fee protection mechanism to be used (eg – Tuition Assurance Scheme membership, Bank Guarantee etc)
<p>Clause 8.5 (Legal Requirements – if applicable)</p>	<ul style="list-style-type: none"> • Evidence of compliance with Working with Children legislation (if the RTO intends to deliver to students under 18), Police clearances, licences etc

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?
2. Have you completed the Amendment to Scope Application Self-Assessment Tool?
3. Is all supporting evidence/information included with the application?
4. Do you have supporting evidence ready to demonstrate compliance with the *Standards for RTOs*?
5. Have you retained a copy of the application form and any attachments for your records?