

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- **replace** superseded Training Package qualifications and units of competency with non-equivalent Training Package qualifications and units of competency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

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.

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

All applicants must comply with the requirements of:

- the *Standards for Registered Training Organisations (RTOs) 2015* (Standards for RTOs);
- the *Vocational and Education and Training Act 1996* (VET Act); and
- all policies and guidelines for RTOs issued by the Training Accreditation Council.

VET Regulator Compliance

The Training Accreditation Council (TAC) must comply with the *VET Act, Vocational Education and Training (General) Regulations 2009* and *Standards for VET Regulators 2015*. A copy of the Standards and relevant legislation is available from the TAC website at:

www.tac.wa.gov.au.

Information Sharing

Information collected by TAC is used for the primary purpose of TAC undertaking its functions outlined in the VET Act. The information collected may be provided to relevant government agencies for secondary purposes that are directly related to or provide benefit to TAC'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 by the 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 on submission of your application.

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 Plus: - Each additional qualification	\$920 \$135
*For transition to equivalent training package qualifications or units of competency, no application is required, and no fees apply.	- First seven units of competency Plus: - Each additional unit	\$240 per 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: TAC will automatically update your scope for all Training Package qualifications or units of competency that have been determined equivalent. No application form or fee 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 a RTO2 Application for Amendment to Registration to the TAC through the RTO Portal with evidence of copyright approval.

Not Equivalent: Submit an RTO2 Application for Amendment to Registration form to TAC through the RTO Portal with the supporting evidence listed in Attachment A.

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RTOs 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 of the Standards for RTOs. Further information on managing the transition from superseded training products is available in Clause 1.26 and 1.27 of the [Users' Guide to the Standards for RTOs](#).

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 to the Standards for RTOs](#).

Completing an Application for Amendment to Registration

Amendment to registration applications must be generated through the RTO Portal.

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 product/s 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.

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.

Evidence to support your application

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

Please refer to the List of Supporting Evidence at Attachment A.

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 additional opportunity to provide further evidence to support your application for audit against 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.

Please note the following:

- RTO portal allows for electronic evidence to be attached with your application (max. size for each document/.zip folder is 60mb).
- 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 subset 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, 1.13, 1.14, 1.16	Training and assessment strategies and practices Validation Industry relevance Assessment Trainers and assessors 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	1.15 1.17, 1.18, 1.19, 1.20 1.22-1.25	Assessors conducting assessment only Supervision arrangements From 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: 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.

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.

For further detailed information on the above clauses please refer to the:

[Users' Guide to the Standards for RTOs](#)

[Amendment to Registration Application Self-Assessment Tool](#) ; and

[The TAC Fact Sheets](#)

(ATTACHMENT A)

Amendment to Registration Application - List of supporting evidence

The following is a checklist of evidence that must be submitted with the RTO2 Application for Amendment to Registration in the [RTO Portal](#) to allow the Training Accreditation Council to assess your application.

For further detailed information on the below clauses please refer to the:

[Users' Guide to the Standards for RTOs](#)

[Amendment to Registration Application Self-Assessment Tool](#) ; and

[The TAC Fact Sheets](#)

Please provide an **index document** which lists all the document names. The document should refer to the Clause/s that the evidence is addressing. The index document may also indicate the pages of a document that should be considered, eg Clause 5.3 Student Handbook Pg 22.

CHECKLIST OF SUPPORTING EVIDENCE

1. RECRUITMENT AND ENROLMENT (Clause 5.1, 5.3)

- Pre-enrolment information such as course information, student handbooks
- Fees and refunds information for students

2. STRATEGIES - TRAINING AND ASSESSMENT (Clause 1.1, 1.2, 1.3a, 1.3b, 1.7)

- Training and assessment strategies for all training products included in the 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

3. INDUSTRY ENGAGEMENT (Clause 1.5, 1.6)

- Contact details of industry organisations/individuals consulted in relation to each training product in the application, evidence of 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.

4. TRAINERS AND ASSESSORS (Clause 1.3a, 1.13, 1.14, 1.16)

- A list of trainers and assessors for each of the training products included in your application
- Evidence that trainers and assessors have the required:
 - training and assessment credentials
 - vocational competencies
 - current industry skills, with the evidence also showing how the skills directly 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

5. FACILITIES, EQUIPMENT AND RESOURCES (Clause 1.3c, 1.3d)

- Workplace resource lists and agreements confirming access to facilities, equipment and the range of work directly related to Training Package requirements (for workplace delivery)
- A list of learning resources for each training product in the 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 6 Assessment below).
- 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

6. ASSESSMENT (Clause 1.8, 1.9)

- A complete list of assessment tools to be used for each unit of competency/module/cluster of units included in the application
- If your application includes qualifications: Assessment tools for at least two units of competency for each qualification in the application, including high risk units if applicable.
- A document demonstrating where each unit requirement is addressed in the assessment tools.
- 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)
- A validation plan and schedule that includes all training products in the application. This may be in the form of an addition to your existing 5-year validation schedule.

7. THIRD PARTIES (if applicable) (Clause 2.3, 2.4)
<input type="checkbox"/> Copies of agreements with all third parties <input type="checkbox"/> Strategies to monitor third parties
8. FEES IN ADVANCE (if applicable) (Clause 7.3)
<input type="checkbox"/> Evidence of fee protection mechanism to be used
9. LEGAL REQUIREMENTS (if applicable) (Clause 8.5)
<input type="checkbox"/> Evidence of compliance with Working with Children legislation (if the RTO intends to deliver to learners under 18)
10. TRAINERS AND ASSESSORS UNDER SUPERVISION (if applicable) (Clause 1.17, 1.18, 1.19, 1.20)
<input type="checkbox"/> 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
11. ASSESSORS CONDUCTING ASSESSMENT ONLY (if applicable) (Clause 1.15)
<input type="checkbox"/> Evidence that persons conducting assessment only have the required credentials
12. ACCREDITED COURSE COPYRIGHT OWNER APPROVAL (if applicable)
<input type="checkbox"/> For accredited courses, written approval from the copyright owner to deliver the course and a copy of the accredited course document

Please note additional information is required if applying for training products from the TAE Training and Education Training Package, please refer to the [Amendment to Registration Application Self-Assessment Tool](#).