

# Department of Further Education, Employment, Science and Technology

Quality and Tertiary  
Education Policy



## Guide A for Initial or Renewal of Registration



Government of South Australia  
Department of Further Education,  
Employment, Science and Technology

## Guide A – Information to assist in completing the Application for Initial (RTO1) or Renewal (RTO1A) of Registration

### Introduction

In South Australia the Department for Further, Education, Employment, Science and Technology (DFEEST) is responsible for granting registration under the authority of the South Australian Training and Skills Commission.

You need to complete Form RTO1 if you are applying to become a registered training organisation (RTO) for the first time or RTO1A if you are already an RTO and need to renew your registration.

When completing your application, you need to be aware of the Policies approved by the Training and Skills Commission in determining whether to register, renew or vary the registration of a training provider in the vocational education and training sector. These are listed in Appendix 1.

If you are applying to renew your registration, you should take the opportunity to review your current scope of registration to see if you need to remove any qualifications, units of competency or accredited courses. At the same time as applying to renew your registration, you may also add to your current scope of registration. If that is the case, you should list these qualifications, units of competency and accredited courses in Section 5 of this application form. You do not have to complete a separate application to amend your current scope of registration.

All applicants for registration must comply with the requirements of:

- the Australian Quality Training Framework (AQTF) *Essential Conditions and Standards for Initial Registration* (for new applicants) and the AQTF *Essential Conditions and Standards for Continuing Registration* (for existing RTOs)
- the *Training and Skills Development Act 2008*
- the *Guidelines for Registered Training Organisations registered in South Australia under the Training and Skills Development Act 2008*

### Need Help?

If you need assistance or advice completing the application form, you can contact Quality and Tertiary Education Policy (QTEP) Directorate, DFEEST by phoning 08 8226 3065 or send an email to [dfeest.quality@sa.gov.au](mailto:dfeest.quality@sa.gov.au)

If you are a new applicant, you are encouraged to contact a Client Relations Officer on (08) 8226 3065 prior to submitting your application. The Client Relations Officer will answer any queries you might have and clarify the application requirements.

**The following websites are also useful to access further information about meeting the registration requirements and other information about the vocational education and training sector:**

#### ACER

For information on collecting and reporting on Quality Indicator data, visit the ACER website at [www.acer.edu.au/aqtf](http://www.acer.edu.au/aqtf)

#### Department of Further Education, Employment, Science and Technology (DFEEST)

Information on the reporting requirements of DFEEST (including AVETMISS compliance and the STELA system) can be found at [www.training.com.au](http://www.training.com.au) (Click on *Maintaining your registration* and follow the links)

#### Training.com.au

This website is a gateway to a vast range of vocational education and training information, products and services in Australia. The national AQTF website is also hosted here and can be accessed at [www.training.com.au/aqtf](http://www.training.com.au/aqtf)

#### National Training Information Service (NTIS)

NTIS is the national database on vocational education and training in Australia. NTIS is the official national register of Training Packages, Qualifications, Courses, Units of Competency and Registered Training Organisations (RTOs). NTIS can be accessed at [www.ntis.gov.au](http://www.ntis.gov.au)

#### TVET Australia Product Services

This is the national publisher and distributor of endorsed training packages. TVET maintains information regarding current and superseded training packages and support materials. The database can be accessed at [www.atpl.net.au](http://www.atpl.net.au)

#### **Costs**

The fees for registration are outlined in the *Schedule of Fees for Recognition Services in South Australia* which can be accessed on the department's website at [www.training.sa.gov.au](http://www.training.sa.gov.au) (***Further information - Standards, Legislation, Guidelines, Policies and Fees***)

All applications incur an application fee (refer to the [Schedule of Fees](#)) which is non-refundable.

#### **To lodge your application**

Please ensure all sections of the application form have been completed fully and accurately. Applications must be submitted to the Department in hard copy with the evidence specified in Section 8 of this guide including the application fee

Applications should be sent to:

Client Information Officer

Quality and Tertiary Education Policy Directorate, DFEEST

GPO Box 320

Adelaide 5001

When your application is received, an officer from the department will contact you to discuss your application.

## SECTION 1 – TYPE OF APPLICATION

- 1.1 Applicants for initial registration to deliver to overseas students will need to provide evidence that they meet the Training and Skills commission's requirements for relevant experience in vocational education and training (refer Appendix 1)
- 1.2 An RTO may only offer AQF qualifications offshore if approved to do so by the Commission. Section 11 of the *Guidelines for RTOs* sets out the matters that will be considered in determining whether to approve an RTO to deliver offshore.
- 1.3 An applicant for initial registration that cannot demonstrate relevant prior history in vocational education and training will not be authorised to offer training interstate or offshore.

## SECTION 2 – APPLICANT'S DETAILS

Applicants applying for initial registration must complete all of section 2.

Applicants applying for renewal of registration must complete sections 2.1 and 2.9 only. Sections 2.2 to 2.8 need only be completed if the applicant's registration details as currently recorded on NTIS need to be updated.

### 2.1 Name of legal entity

Registration will be granted only in the name of a legal entity, not a trading name alone.

- **Corporations** If the applicant is a company, the name must be exactly as registered with the Australian Securities and Investments Commission and a copy of the Certificate of Registration and full ASIC details (showing the names and addresses of all directors) must be attached. Note that only corporations registered in Australia may apply for registration as an RTO.
- **Individual sole traders** If the applicant is an individual sole trader, registration will only be granted in the full name of that person.
- **Partnerships** If the organisation is a partnership, registration will only be granted in the full names of all partners. Such applicants should note that, if the partnership ceases to exist (for example, one of the partners leaves the partnership), the RTO's registration will be cancelled and the new entity will have to apply for registration in its own right.
- **Trusts** If the applicant is a trust, registration will only be granted where the trustee is clearly identified (eg XYZ as the trustee for...). Registration will not be granted for unnamed trustee (ie "The Trustee(s) for...") unless the trust is established by a specific Act of Parliament.
- **Incorporated associations** If the applicant is an incorporated association, a copy of its Certificate of Incorporation must be attached.

The name of the legal entity that is registered as the RTO and, if applicable, its trading name will appear on the National Training Information Service (NTIS) [www.ntis.gov.au](http://www.ntis.gov.au). The legal name or trading name as listed on NTIS, must therefore be used by the RTO on:

- all Australian Qualifications Framework qualifications and Statements of Attainment issued by the RTO
- all enrolment forms and contracts with students and other clients.

## 2.2 Type of legal entity

Indicate the type of legal entity that is applying for registration. See note 2.1 above. If this is a government entity, also provide the title of the legislation under which the entity is established or constituted.

## 2.3 Registered business or trading name(s)

In addition to the name of the legal entity, an RTO may use the registered business (trading) name(s) under which it wishes to perform its RTO functions, including marketing and advertising its services.

If the RTO uses a trading name, it must provide a copy of the Certificate of Registration of Business Name showing the current and correct details, including the registration number and proprietor of the name. The proprietor must be the legal entity.

If registration is granted it will be on the condition that the RTO's functions will be performed in the name of the legal entity and its nominated registered business name(s) only and that the RTO retains its present legal status.

## 2.4 Australian Company Number

If the legal entity is a company, enter the ACN.

## 2.5 Australian Business Number

The RTO's ABN must be set out on all of the RTO's documentation, preceded by the abbreviation "ABN". If the RTO is a company and the last 9 digits of the RTO's ABN are not the same, and in the same order, as the last 9 digits of its ACN, both the RTO's ACN (preceded by the abbreviation "ACN") and ABN must be set out on all RTO documentation.

## 2.6 Type of training organisation

Using the definitions below as a guide, indicate the type of training organisation the legal entity is.

**School** – A school's major activity is the provision of full-time secondary education or the provision of secondary distance education. The term includes schools in institutions and hospitals, mission schools and similar establishments.

Australian Technical College (ATC) means a school in respect of which financial assistance under the *Australian Technical Colleges (Flexibility in Achieving Australia's Skills Needs) Act 2005* is provided or proposed to be provided.

**TAFE** – A Technical and Further Education (TAFE) institute is a government-funded public body created by Act of Parliament.

**University** – All universities in Australia are established or recognised under federal, state or territory legislation.

- University – Government (eg RMIT University)
- University – Non-Government Catholic (eg Australian Catholic University)
- University – Non-Government independent (eg Bond University).

**Enterprise** – Training is delivered to the enterprise’s employees or cadets.

- Enterprise – Government (eg Department of Defence, Department of Correctional Services Academy, Centrelink). Government entities also need to identify the legislation under which they are established or constituted.
- Enterprise – Non-government (eg Woolworths Ltd, Qantas Airways Ltd).

**Community-based adult education** – A not-for-profit, community-based organisation with a primary focus on adult education

**Private provider** – a privately owned education/training business or centre

**Professional association** – an association that performs functions such as:

- providing and promoting professional and career development activities
- establishing and monitoring industry standards and professional codes of practice
- advising educational institutions on curriculum development.

Examples include the Institute of Chartered Accountants, Australian Institute of Management, and the Australian Computer Society.

**Industry association** – a national industry association that represents the interests of its members (eg Internet Industry Association) or an industry union (eg Textile Clothing & Footwear Union of Australia)

**Equipment/product manufacturer/supplier** – an entity that provides certification and training for employees and non-employees (eg Microsoft)

**Other** – Training providers that are not classified elsewhere.

## 2.7 Head office of legal entity applying for registration

Provide details of head office location and postal address of the legal entity applying for registration. See also 2.8 as, for some organisations, this may not be the same as the principal place of RTO business.

## 2.8 Principal place of RTO business

Provide all details of the actual location from which the organisation’s activity as an RTO will be controlled (ie where records and evidence for audit purposes are kept). For some organisations this may not be the same location as the head office. If it is, write “head office”.

Note: If the principal place of business is not within South Australia, your organisation may not be eligible for registration in this state.

## 2.9 RTO’s permanent sites

List all addresses of premises owned or leased by the RTO where RTO services will be provided, as well as the name of the manager or key contact person at each site and their contact details.

Do *not* list venues your organisation hires only on an occasional basis as they are needed.

### 2.10 Chief executive officer

The CEO must be the person who is legally responsible for the organisation and ensuring it operates in accordance with the AQTF Essential Conditions and Standards for Continuing Registration. As such, the CEO must sign the declaration, which includes the conditions of registration, and the statutory declaration. The CEO will be listed on NTIS, and all audit reports and correspondence will be addressed to the CEO. As the legally responsible person, the CEO must also be the chief signatory on all AQF qualifications and Statements of Attainment issued by the RTO. The CEO is also required to submit a National Police Certificate that has been issued within the last 3 months.

Where there are a number of directors or partners, the organisation must nominate one person as the CEO for the purpose of registration.

### 2.11 Day-to-day public contact person

This person's name and contact details will be listed on NTIS as the main contact for public enquiries.

### 2.12 Registration contact person

This person will be the main contact with the registering body and, therefore, must be the person responsible for all registration matters. The person may be the CEO (for example, if the RTO is a small organisation). Alternatively, it may be a person who is designated by the CEO, provided it is someone who has direct access to the CEO and is authorised by the CEO to act on behalf of the RTO and to make decisions about registration matters.

If it is the CEO, write "CEO" in place of surname.

Although the CEO may designate a person to fulfil this role, you need to note that the CEO remains responsible for ensuring that the organisation operates in accordance with the AQTF *Essential Conditions and Standards for Registration* as the CEO is the legally responsible person.

## SECTION 3 – DETAILS OF LEGAL ENTITIES AND ASSOCIATES

In this section, you need to provide details of all people who are associates of the legal entity making the application.

You must advise the registering body if any of these details change at any time during the period of registration.

Please read the definition of the term "associate" and the related terms provided below and note the following:

- **Corporations** need to provide the details of the top twenty shareholders, all directors and the company secretary
- **Incorporated associations** need to provide the details of the chairperson, secretary, public officer and committee members.

For the purposes of registration **A person is an associate of a training organisation** if

- (a) they are partners; or
- (b) they are both trustees or beneficiaries of the same trust, or one is a trustee and the other is a beneficiary of the same trust
- (c) one is a body corporate and the other is a member of the board or committee of management of the body corporate; or
- (d) one is a body corporate and the other is a person who has a legal or equitable interest in 5 per cent or more of the share of the body corporate; or
- (e) a chain of relationships can be traced between them under any one or more of the preceding paragraphs.

## SECTION 4 – APPLICANT’S HISTORY

In this section, you need to provide details about the history of the legal entity making the application and any “associate” of the applicant (as defined in Section 3).

The questions in Section 4 and the Statutory Declaration (Section 7) need to be completed by the Chief Executive Officer (CEO) of the legal entity applying for registration. The responses to the questions about the applicant and any associate will be used to determine suitability for registration.

The South Australian Training and Skills Commission will only register a training organisation if it is satisfied that the applicant is suitable for registration in accordance with the provisions of the *Training and Skills Development Act, 2008*.

In considering whether an applicant is suitable for registration, the Training and Skills Commission must have regard to:

- (a) the prior and current conduct of the applicant and any associate of the applicant, whether in South Australia or elsewhere; and
- (b) any other matter that the Training and Skills Commission considers relevant.

In determining the prior conduct of the applicant and any associate (either in this jurisdiction or elsewhere) the following information may be considered:

- (a) any proven serious breach of the consumer legislation of this or any other State or Territory
- (b) any proven breach of the VET legislation of this or any other state or territory
- (c) any criminal conviction
- (d) any application for registration previously refused or cancelled by this or any other state or territory registering body
- (e) any registration status previously suspended by this or any other state or territory registering body
- (f) any other evidence resulting from investigations or other verified sources indicating the applicant may not be able to provide services in accordance with the AQTF Essential Conditions and Standards for Initial Registration (new applicants) or Continuing Registration (existing RTOs), and/or with the *Training and Skills Development Act 2008*.

- 4.1** If the applicant or any associate currently holds registration in any state or territory, you need to provide details.

A legal entity can only hold one registration. Therefore, if the legal entity submitting this application is currently registered interstate and it succeeds in obtaining registration in South Australia, it will be required to cancel its registration in the other state or territory. The CEO of the organisation needs to provide a letter confirming agreement to do this.

If any associate of the applicant is currently registered in *any* state or territory, you need to attach a letter from the CEO providing the reasons for this application for registration.

- 4.2** If the applicant or any associate has ever been an RTO, you need to provide the details requested and attach a letter from the CEO explaining the reasons for ending that registration and stating whether any sanctions were outstanding at the time. Refer to Sections 2 and 3 *Policies approved by the Training and Skills Commission in determining whether to register, renew or vary the registration of a training provider in the vocational education and training sector*. The policies are attached at Appendix 1.
- 4.3** If the applicant or associate has an application for registration lodged with another registering body, you need to provide a letter from the CEO providing details of this application and the reasons for it. This application will not be processed until all details of the other application are provided. You should note that a legal entity may only be registered in one state or territory. Refer 4.1.
- 4.4** If the applicant or associate has ever had registration refused or cancelled by this or any other registering body, at 4.8: Additional Details you need to provide details of the date(s), the reasons for refusing and/or cancelling the registration and the name of the registering body. You should also attach copies of the relevant documentation from the state or territory registering body detailing the reasons for refusing/cancelling registration.
- 4.5** If the applicant or associate has ever had registration suspended by this or any other registering body, at 4.8: Additional Details you need to provide details of the date(s), the reasons for the suspension, and the training packages and/or accredited courses involved. Also attach copies of the relevant documentation from the state or territory registering body detailing the reasons for suspending registration.
- 4.6** This question relates specifically to the suitability of applicants and their associates. If you answer *yes* to this question, you also need to provide details at 4.8.
- 4.7** This question relates specifically to the suitability of applicants and their associates. If you answer *yes* to this question, you also need to provide details at 4.8.

#### **4.8 Additional details**

If you answered *yes* to any of questions 4.4 to 4.7, for each person concerned you need to provide further details and explain your responses to those questions. You will also be required to attach copies of relevant documents as requested in questions 4.4 to 4.7 above.

## SECTION 5 – DETAILS OF SCOPE OF REGISTRATION

**If applying for initial registration** enter the correct national codes and titles of the training package qualifications, individual units of competency (where not delivering a full qualification) and accredited courses for which you are applying in table A. Attach additional pages if required.

Applicants should consult the *Policies approved by the Training and Skills Commission in determining whether to register, renew or vary the registration of a training provider in the vocational education and training sector* (attached at Appendix 1) before completing this section of their application form.

**If applying for renewal of registration** only complete Table A for any training package qualifications, individual unit of competency (where not delivering a full qualification) and accredited courses that you wish to have added to your current scope of registration. If you wish to remove any qualifications, units of competency or accredited courses from your current scope of registration please provide details in table B. Attach additional pages if required.

Please check the National Training Information Service (NTIS) website, [www.ntis.gov.au](http://www.ntis.gov.au), to obtain the correct titles and codes in order to complete the table(s). Applications that do not provide accurate information will cause delays in the processing of the application and it may be returned to the applicant.

This information will be used to calculate the fee you will be charged.

Please also note the following:

- Your organisation must deliver and assess against the current nationally recognised training qualifications and accredited courses.
- Where a new version of a training package has been endorsed nationally but has not yet been published, your organisation must await its publication before applying to have qualifications from it included on your scope of registration.
- Applications that contain incorrect information may not be processed.
- Applications for qualifications and/or units of competency from training packages that have been superseded will not be accepted.
- Applications for an accredited course that has an accreditation period expiring within six months will generally not be accepted.

### **Assessment only**

If you only intend to provide an assessment service (ie an RPL service rather than a full training and assessment service) for any of the training package qualifications, individual units of competency and accredited courses listed, you need to indicate this.

## SECTION 6 – DECLARATION BY CEO

The Conditions of Registration consist of nine clauses that form the RTO's contractual agreement with the registering body. The obligations covered in the Conditions of Registration address:

- Arrangements that provide for consumer protection, such as financial management and viability, as well as insurance
- Agreement to operate according to the requirements of the national VET system, for example, observing the protocols for national consistency in issuing Australian Qualifications Framework (AQF) certification, recognition of AQF certification issued by other RTOs, and data retention.

This declaration must be completed by the chief executive of all organisations applying for initial registration or renewal of registration. If the legal entity applying is a person, that person must complete the declaration. The declaration is made as a formal undertaking to the South Australian Training and Skills Commission.

Please note this declaration cannot be completed on screen. Please complete by hand once the application has been printed.

It should also be noted that DFEEST, acting under authority from the South Australian Training and Skills Commission may share information about this application and your organisation with other state and territory registering bodies and with other relevant agencies in accordance with the provisions of the *Training and Skills Development Act, 2008* and the requirements of the AQTF Standards for State and Territory Registering Bodies.

## SECTION 7 – STATUTORY DECLARATION BY CEO

The statutory declaration made by the CEO under the Oaths Act 1936 (SA) must be signed and witnessed by a Justice of the Peace, notary public or Commissioner for taking affidavits in the Supreme Court, proclaimed member of the police force of the State.

Please note: A person who wilfully makes a false declaration is guilty of an offence punishable by imprisonment.

## SECTION 8– EVIDENCE TO BE SUBMITTED WITH YOUR APPLICATION

All applicants are required to submit the following evidence with their application:

1. A National Police Certificate issued within the last 3 months for the Chief Executive / Principal Officer. Either the original or a copy which has been certified by a Justice of the Peace, notary public, Commissioner for taking affidavits in the Supreme Court, or proclaimed member of the police force of the State. The National Police certificate must be issued by your local police service or by seeking a National Criminal History Check as an individual through CrimTrac at [www.crimtrac.gov.au](http://www.crimtrac.gov.au)
2. Application fee must be in the form of a cheque payable to DFEEST. Refer to *Schedule of Fees for Recognition Services in SA* [www.training.sa.gov.au](http://www.training.sa.gov.au)

If you answered yes to any questions in 4.3 – 4.7 in the application form, also provide the appropriate evidence.

## Initial Applicants only

### In addition to the above, new applicants must provide:

1. A self assessment report on your compliance with the AQTF *Essential Conditions and Standards for Initial Registration*. Applicants will carry out a self-assessment to confirm that they have the capability to operate effectively as an RTO on registration. The self-assessment must be thorough and supported by evidence of compliance.

A template for this purpose can be downloaded from the AQTF Publications section of [www.training.com.au](http://www.training.com.au)

2. A Business Plan, including, but not limited to:
  - a) evidence of market research and budget projections
  - b) financial projections for the first two years of operation
  - c) appropriate consideration as of financial resources
  - d) staffing and assets required to deliver the plan
  - e) a comprehensive risk plan and appropriate mitigation strategies and appropriate governance structure with clear and transparent roles and accountabilities.
3. Financial projections for the first two years of operation and the outcome of a review of those projections by an independent qualified accountant to Australian Auditing and Assurance Standards.
4. A statement by an independent qualified accountant on the whether the assumptions made in preparing the financial projections are reasonable. This statement must have regard to the *Australian Audit and Assurance Standards: AUS804 - The Audit of Prospective Financial Information* and *ASAE3000 - Assurance Engagements Other than Audits or Reviews of Historical Financial Information* (Example of an Independent Limited Assurance Report is at Appendix 2)
5. A Certificate of Occupancy. Registered training providers must ensure that they operate from premises that have the relevant planning approvals. Lack of appropriate planning approval may impact on your ability to conduct business from this site and also invalidate your insurance cover.

If your organisation is applying for initial registration, establishing new premises or expanding existing premises, you need to provide a copy of your Certificate of Occupancy to confirm that registration decisions are consistent with current planning approvals. Contact your local Council for more information.

6. Copy of your Certificate of Corporation and if your organisation has a trading name, a Certificate of Registration of a Business Name is also required (not required if you are applying for renewal of registration and your current legal and trading name has not changed).

Once your application has been received and assigned to a Lead Auditor, you will be asked to forward a completed Special Purpose Financial Report (SPFR) which is available to download from [www.training.sa.gov.au](http://www.training.sa.gov.au) (Forms and Templates – Vocational Education and Training). The SPFR provides an assessment of the financial health of the applicant. This information will be taken into account in assessing risks associated with the applicant, which in turn may impact on decisions about the scope and registration period for the applicant. It is recommended you download and complete the form at the time of preparing your application so that it may be provided without delay when requested by the Lead Auditor.

## **APPENDIX 1 – POLICIES APPROVED BY THE TRAINING AND SKILLS COMMISSION IN DETERMINING WHETHER TO REGISTER, RENEW OR VARY THE REGISTRATION OF A TRAINING PROVIDER IN THE VOCATIONAL EDUCATION AND TRAINING SECTOR**

### **1. Applications for initial registration, renewal of registration and variation to scope of registration in vocational education and training**

- a. The Commission may refuse an application to vary scope of registration from an organisation that has a current risk rating of *high* or *extreme* assigned in accordance with the *AQTF National Guideline for Risk Management*.
- b. The Commission may immediately refuse an application for initial registration or an application to vary scope of registration if the organisation is assessed to be in *major* or *severe* non-compliance with the *AQTF Essential Standards and Conditions for Registration*.
- c. The Commission may consider a new application from an organisation that it has refused registration on the grounds of *major* or *severe* non-compliance with the *AQTF Essential Standards and Conditions for Registration*.

In this case, the Commission will require the applicant to provide evidence of the actions it has taken since refusal of its previous application. The Commission may refuse the new application if it is not satisfied that the actions taken by the applicant, which may include the removal of qualifications from its scope of registration, are adequate to sustainably rectify the non-compliance.

- d. If an RTO applying for renewal of registration is assessed to be in *major* or *severe* non-compliance with the *AQTF Essential Standards and Conditions for Continuing Registration*, the Commission may apply such sanctions as it sees fit to manage the risk to the RTO's clients and the reputation of the VET sector. If the Commission is satisfied that actions proposed by the applicant, which may include the removal of qualifications from its scope of registration, are adequate to sustainably rectify the non-compliance, the Commission may, if necessary, renew the registration of the provider for a limited period pending further assessment of the RTO's operations to ensure current students are not disadvantaged.

### **2. Applications for initial registration – from organisations without relevant prior history\* in vocational education and training**

\*In determining the relevance of an organisation's prior history in vocational education and training the Commission will consider:

- i. the relevance and extent of the experience and background of the Chief Executive and senior officers responsible for leading and managing the organisation; and
  - ii. the level and quality of educational expertise available to senior officers and directors.
- a. The Commission may consider an application for initial registration from an organisation without relevant prior history in vocational education and training if the proposed scope of registration is no more than 4 qualifications in total across no more than 2 industry areas or Training Packages.
  - b. The initial registration period for an organisation without relevant prior history in vocational education will be no more than 12 months.

The Commission may “of its own motion” renew the registration period for *up to* a further four years if the organisation demonstrates compliance at its first monitoring audit. The Commission may apply such conditions as it sees fit for the remaining period of registration.

- c. The grant of initial registration to an organisation without relevant prior history in vocational education and training will be on condition that the organisation only delivers in South Australia.

This condition may be lifted by the Commission once the organisation demonstrates compliance at a full monitoring audit.

### **3. Applications for initial registration – from organisations with relevant prior history in vocational education and training**

In determining the scope of registration and the period of initial registration for an organisation with a prior history of vocational education and training, the Commission will have regard to:

- a. the extent to which the background and experience of the Chief Executive and senior officers responsible for leading and managing the organisation are consistent with the proposed scope of registration;  
and, if relevant,
- b. the period the organisation has delivered vocational education and training (in South Australia or other jurisdictions) prior to its application; and
- c. the history of compliance with the AQTF or other relevant regulatory frameworks; and
- d. the number of graduates and evidence of learner and employer or industry satisfaction.

### **4. Applications for initial registration to deliver to overseas students**

The Commission may grant an application for initial registration to deliver to overseas students if the Commission is satisfied that the organisation can demonstrate relevant experience and performance in vocational education and training, having regard to:

- a. The period the organisation has delivered vocational education and training (in South Australia or other jurisdictions) prior to their application;
- b. The history of compliance with the AQTF or other relevant regulatory frameworks; and
- c. The number of graduates and evidence of learner and employer or industry satisfaction for qualifications proposed for registration on CRICOS.

## APPENDIX 2 – EXAMPLE OF A LIMITED ASSURANCE REPORT

On Letterhead

**Independent Limited Assurance Report  
in relation to the  
Financial Projections of <RTO legal entity name>  
For the two years < from date to date >**

To the management and directors of < RTO legal entity name >

We have been engaged by < RTO legal entity name > to provide a limited assurance report on the attached financial projections of the entity for the two years < from date to date > for the purposes of supporting an application to the South Australian Training and Skills Commission for initial registration under the Australian Quality Training Framework.

Our responsibility in performing our assurance is to the management and directors of < RTO legal entity name > for the intended use of initial registration under the Australian Quality Training Framework. We do not accept or assume any responsibility for any other purpose or to any other person or organisation. Any reliance a third party may place on the assurance provided in this report is entirely at its own risk.

The directors of < RTO legal entity name > are responsible for the preparation and presentation of the attached financial projections. This includes establishing and maintaining internal controls relevant to the preparation and presentation of the projections in order to ensure they are free from material misstatement.

We have planned and conducted a limited assurance engagement in accordance with the standard on assurance engagements “*Assurance Engagements Other than Audits or Reviews of Historical Financial Information, ASAE 3000*” issued by the Auditing and Assurance Standards Board as required by Condition 5 of the Australian Quality Training Framework.

A limited assurance engagement includes, but is not limited to understanding the subject matter, making enquiries, testing assumptions, applying analytical assessment and assessing the risks of the projections being materially misstated. Our assurance procedures have included:

- *<list procedures eg: interviews, inquiries, ratio analysis, indicators, benchmarks etc)>*
- 

*<Description, if any, of any significant inherent limitation associated with the evaluation>*

### **Conclusion**

Based on our procedures for this limited assurance engagement, nothing has come to our attention that causes us to believe that the assumptions used by < RTO legal entity name > do not provide a reasonable basis for the preparation of the attached two year financial projections.

Name and signature of the Assurance Practitioner

Location

Date