

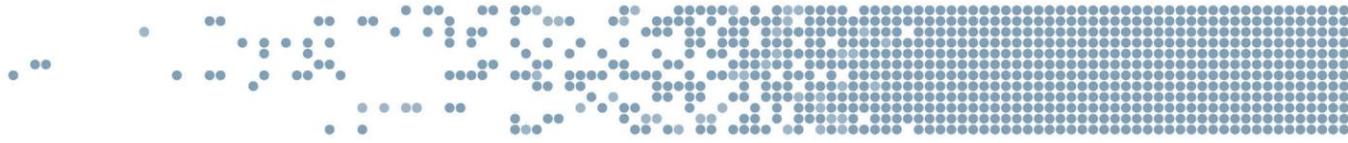


# APPLICATION GUIDE

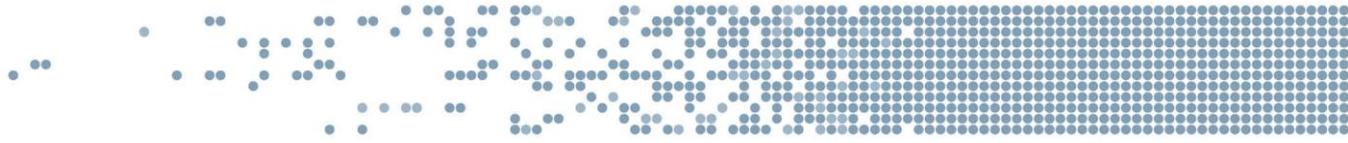
## Application for initial RTO registration

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## Introduction

This guide has been developed to help you apply to the Australian Skills Quality Authority (ASQA) for initial registration as a training organisation.

Applicants must refer to this guide when completing the *Application for initial RTO registration*.

There are a number of documents that need to be attached to your application. This symbol  has been used throughout the guide to indicate that an attachment is required.

This guide should be read in conjunction with:

- the [Standards for Registered Training Organisations 2015](#)
- the registration and audit information provided on [ASQA's website](#).

When completing your application, you will also need to refer to:

- the national register—[training.gov.au](http://training.gov.au)
- the [AQF](#)
- [National Centre for Vocational Education Research](#)

Please contact the ASQA Info line on **1300 701 801** or at [enquiries@asqa.gov.au](mailto:enquiries@asqa.gov.au) if you have questions about how to complete the *Application for initial RTO registration*.

## ASQAnet

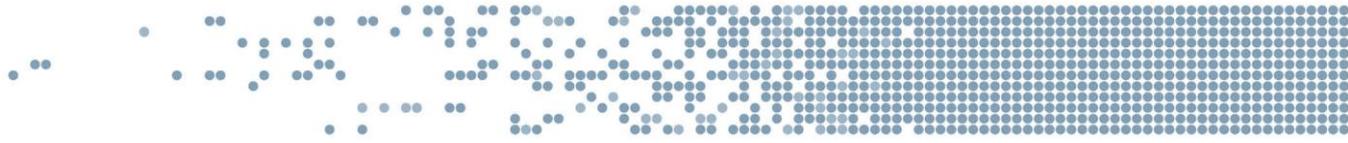
Applications for initial RTO registration should be lodged using ASQA's online application and registration management system, ASQAnet.

ASQAnet can be accessed at:

- [rms.asqa.gov.au](http://rms.asqa.gov.au)

Information on registering for ASQAnet can be found on the [ASQA website](#).

If you want to submit an application without using ASQAnet, you may contact the ASQA Info line to request an application form. In accordance with the [ASQA schedule of fees 2014](#) and the [ASQA Instrument Fixing Fees No.1 of 2013](#) if you do not submit this application in ASQAnet, you will be charged a data entry fee of \$500. Payment of application fees by BPAY and electronic funds transfer (EFT) is only available to applicants using [ASQAnet](#).



## Before applying for initial registration

Registered training organisations (RTOs) are providers and assessors of nationally recognised training. Only registered training organisations can issue Australian Qualification Framework (AQF) qualifications and statements of attainment in the vocational education and training (VET) sector.

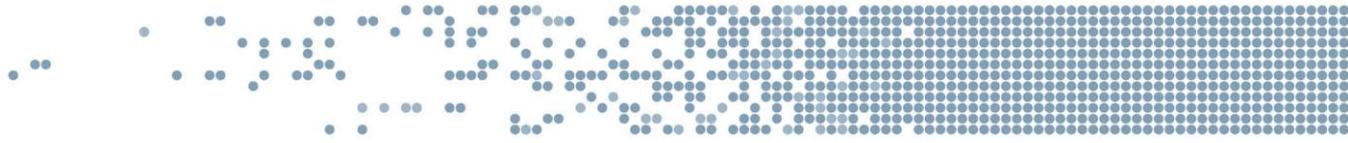
A person intending to apply for initial RTO registration must ensure they are eligible to do so through ASQA. Eligibility information available at [www.asqa.gov.au](http://www.asqa.gov.au). Applicants with a principal place of business in Victoria or Western Australia can only apply for registration with ASQA if they will be offering courses:

- in a state or territory other than Victoria or Western Australia, including by offering courses online, and/or
- to overseas students.

In order to be registered, training organisations applying to ASQA for initial registration must comply with the VET Quality Framework, as defined in the *National Vocational Education and Training Regulator Act 2011*, which includes the *Standards for Registered Training Organisations 2015*, and conditions of registration.

Applicants for initial registration must have a thorough working knowledge of the national VET system, including the national skills framework, which includes training packages, the Australian Qualifications Framework (AQF) and the VET Quality Framework.

Applicants must also be able to demonstrate they have established the foundations of a sustainable business so as to demonstrate their preparedness to operate as an RTO and to deliver quality training and assessment outcomes.



## Application for initial RTO registration

Unless otherwise indicated, you must provide a response to each question and to each part of each question.

### Section 1 Applicant details

This section requests details of the applicant, including the type of legal entity and training provider, and the relevant addresses.

#### 1.1 Australian Business Number (ABN)

An Australian Business Number (ABN) is a unique identifier issued by the Australian Business Register. It is an eleven digit number that, in the case of a company, includes the company's ACN.

In the case of a trust, the ABN of the registered trustee organisation must be included here and **not** the ABN of the trust.

#### 1.2 Name of legal entity applying for registration

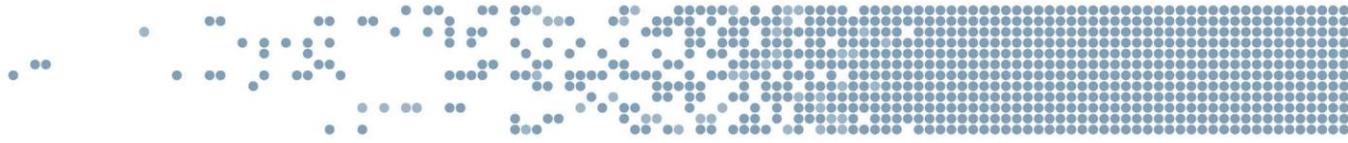
This is the name of the entity that appears on all official documents or legal papers and may be different from the trading name.

It is the name of the individual person or organisation which is legally permitted to enter into a contract and assumes legal responsibility for any failure to meet its contractual obligations.

In the case of a trust, the legal name for the registered trustee organisation must be included here and **not** the name of the trust.

#### 1.3 Australian Company Number (ACN)

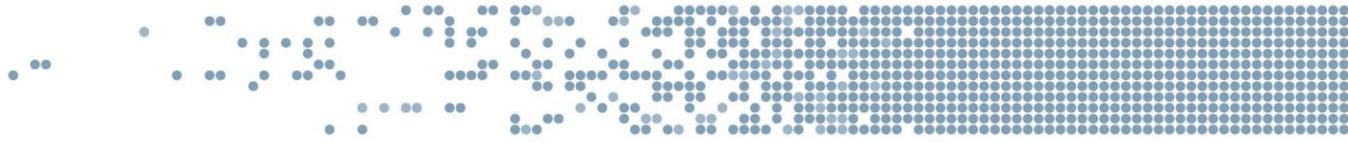
An Australian Company Number (ACN) is a unique nine-digit identifier issued by the Australian Securities and Investment Commission (ASIC) to every company registered under the *Corporations Act 2001* (Cwlth).



## 1.4 Type of legal entity

The following table describes different types of legal entities, along with the evidence that must be submitted with this application to establish identity.

Type of legal entity	 Evidence that must be attached to this application
Natural person (sole trader)	<ul style="list-style-type: none"> <li>• Copy of driver's licence</li> </ul>
Pty Ltd company (a proprietary company limited by shares incorporated under the <i>Corporations Act 2001</i> (Cwth), regulated by the Australian Securities and Investment Commission (ASIC) and has 'Pty Ltd' in the name)	<ul style="list-style-type: none"> <li>• Copy of Certificate of Incorporation issued by ASIC, and</li> <li>• ASIC <b>Historical</b> Company Extract which includes details of the company as at the time of lodging this application. This extract can be ordered through the ASIC website</li> </ul>
Ltd company (a public company incorporated under the <i>Corporations Act 2001</i> (Cwth), regulated by the Australian Securities and Investment Commission (ASIC) and has 'Limited' or 'Ltd' in the name)	<ul style="list-style-type: none"> <li>• Copy of Certificate of Incorporation issued by ASIC, and</li> <li>• ASIC Historical Company Extract which includes details of the company as at the time of lodging this application. This extract can be ordered through the ASIC website</li> </ul>
Incorporated association (incorporated under the relevant state/territory associations incorporations Act and has 'Inc.' in the name)	<ul style="list-style-type: none"> <li>• Copy of Certificate of Incorporation issued by the relevant state/territory department</li> </ul>
Partnership	<ul style="list-style-type: none"> <li>• Copy of driver's licence for each partner</li> </ul>
Trustee <b>Please note:</b> registration will not be considered for a Trust. Registration can only be granted for the trustee as the legal entity. For example Bob's Training Pty Ltd as trustee for the Bob Jones' Family Trust. Bob's Training Pty Ltd is the legal entity that may apply for registration. A Trust is not a legal entity and therefore will not be considered for registration.	<ul style="list-style-type: none"> <li>• An extract from the trust deed document that provides sufficient information to verify the trustee and the trust</li> </ul>
Cooperative association	<ul style="list-style-type: none"> <li>• Copy of certificate of registration issued by the relevant state/territory department</li> </ul>



## 1.5 Registered business (trading) name(s)

This is the name under which an entity trades, for example, ABC Pty Ltd trading as 'RTO Training'. An entity may have more than one registered business/trading name. List all of the registered business/trading names under which you intend to perform registered training organisation (RTO) functions.

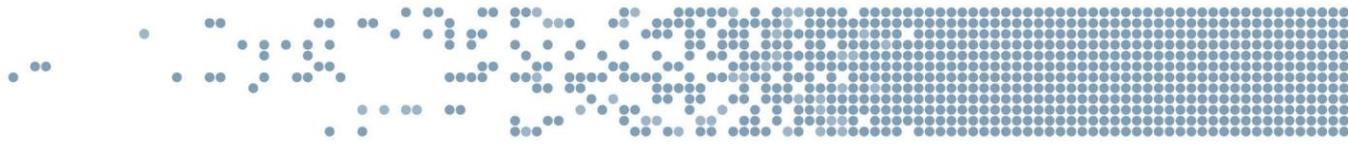
 For each business/trading name listed, **attach** a copy or extract of the record of registration of a business name issued by ASIC, which provides current and correct business name details.

## 1.6 Address of head office of entity applying for registration

The head office details you provide must include address details. These will be included on the national register, [training.gov.au](http://training.gov.au).

## 1.7 Principal place of business of entity applying for registration (if different from head office)

This must be the address from which your RTO's business will be controlled and managed. This address must be a street address and not a post office box.



## Section 2 Ownership, management structure and control of the organisation

This section requires the identification of:

- the owners (natural persons and other entities) of the organisation applying for registration
- key individuals and entities that will exercise a degree of control over the management or direction of the organisation.

The details provided in this section may be used by the registering body in assessing the transparency of ownership and management structures of the organisation.

### 2.1 Details of natural persons who own/are the legal entity applying for registration

This section requires the identification of the person, or people, who own (either in full or in part) the organisation seeking initial registration.

The details of **every** owner, along with their contact details and a description of the role they will undertake in relation to the RTO, must be included here.

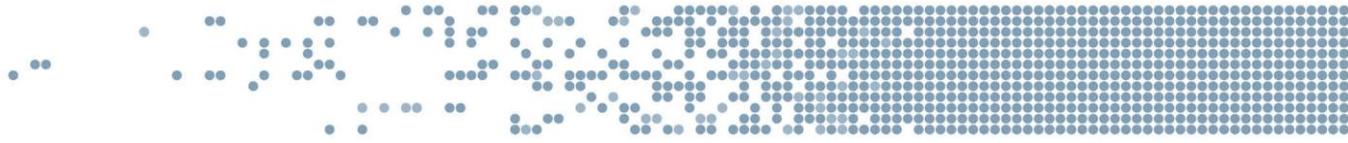
The definitions given to each of these titles, as they relate to an RTO, are provided below from the Act.

#### **Executive officer—**

- a person, by whatever name called, and whether or not a director of the organisation, who is concerned in, or takes part in the management of the organisation; or
- if the organisation is body corporate:
  - a person who, at any time during a period for which the organisation is registered, owns 15% or more of dividends paid by the organisation; or
  - a person who, at any time during a period for which the organisation is registered, is entitled to receive 15% or more of dividends paid by the organisation; or
- an administrator, receiver or manager, or liquidator of the organisation (other than a receiver and manager, or liquidator, appointed by the court); or
- if the organisation is a body corporate—the administrator of a deed of company arrangement executed by an organisation; or
- if the organisation is a body corporate—a trustee or other person administering a compromise or arrangement made between the organisation and another person or other persons.

**High managerial agent**—an employee or agent of the organisation with duties of such responsibility that his or her conduct may fairly be assumed to represent the organisation in relation to the business of providing courses ('course' means a course of vocational education and training).

A person or entity which exercises a degree of control or influence over the management or direction of the RTO include those who make, or participate in making, decisions that affect the business of the applicant, or who have the capacity to affect significantly the future operations and financial standing.



For companies, the details of all directors and shareholders must align to records held by the Australian Securities and Investment Commission (ASIC).

- 📌 A [Fit and Proper Person Requirements declaration](#) must be completed by **each** owner, executive officer and high managerial agent and **attached**.

## 2.2 Details of other entities (not natural persons) that own the legal entity applying for registration

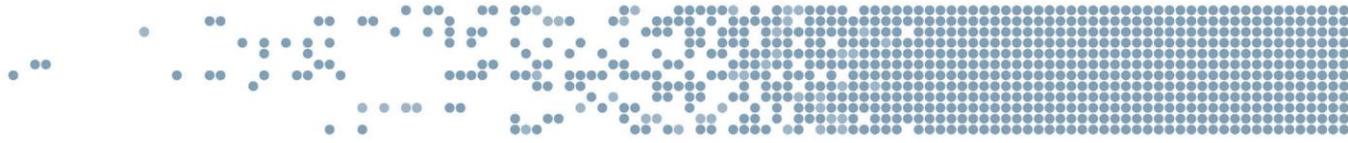
This section requires the identification of entities, other than natural persons, that own (either in full or in part) the organisation seeking initial registration.

The details of **every** owner that is not a natural person, along with its percentage share, must be included here.

- 📌 Refer to the table in Section 1.4 of this guide and **attach** the type of evidence that correlates to the entity type that is an owner of the organisation seeking registration.

## 2.3 Existing training and education operations within Australia

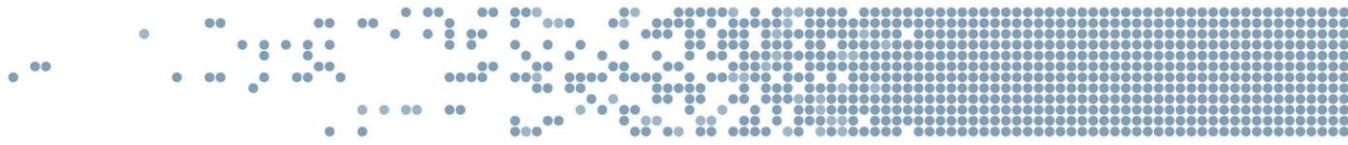
This section requires a response as to whether the organisation seeking registration has any existing operations in training and education in Australia, and if so, a short description of the nature of those operations.



### Section 3 Applicant history

This section requires information on whether an owner, executive officer, high managerial agent or person who will exercise a degree of control or influence over the management or direction of the organisation (or associate of any of these entities):

- has ever been registered as an RTO in any state or territory or associated with an RTO in any state or territory
- has an application for registration as an RTO (apart from this one) lodged with ASQA or any other registering body or has an association with any entity that currently has an application for registration lodged with ASQA or any other registering body.



## Section 4 Proposed RTO details, scope and operating context

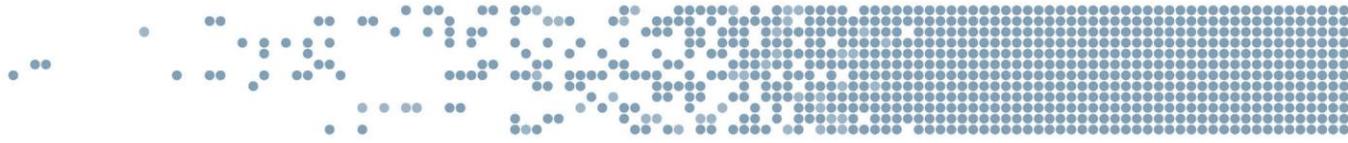
This section relates to the intended operations of the organisation, including location of delivery (including a country outside of Australia), arrangements for delivery (traineeship or apprenticeship arrangements, or partnership arrangements), delivery to overseas students studying in Australia and mode of delivery (for example, face-to-face, or online).

ASQA will consider the information provided in this section will be considered when assessing the application and may also be used in the risk assessment of the organisation.

### 4.1 Type of training organisation

Use the following AVETMISS-based definitions to select the type of training organisation that best suits your organisation (select one type only).

- **Schools**—a school is established or recognised under an Act of Parliament for the purpose of providing courses of instruction in preschool, primary or secondary education. This includes government, Catholic and independent schools and Australian Technical Colleges.
- **Private provider**—an education/training business which is a privately operated registered training organisation.
- **Professional association**—may exist for every industry to provide professional and career development activities and for establishing and/or monitoring industry standards and professional codes of practice (for example, Institute of Chartered Accountants, industry unions).
- **Industry association**—a national industry association that represents the interests of its members (for example: Internet Industry Association, industry unions etc).
- **Equipment and/or product manufacturer or supplier**—provides certification and training for employees and non-employees (for example, CISCO, Microsoft).
- **Technical and further education institute, skills institute or polytechnic**—an institute created by an Act of Parliament and that has responsibilities specified in that and other legislation. These institutes are public bodies, in receipt of government funding.
- **Community-based adult education**—a not-for-profit, community-based organisation with a primary focus on adult education.
- **University**—all Australian universities are established or recognised under state or territory legislation except the Australian National University, which is constituted under an Act of the Federal Parliament. Includes Non-Government Catholic and Non-Government Independent Universities.
- **Enterprise**—an enterprise or the training function or department of an enterprise that is registered to provide nationally recognised training. Training is delivered to its employees. This includes:
  - *Enterprise—government* (for example, Department of Defence).
  - *Enterprise—non-government* (for example, Woolworths, Qantas).



## 4.2 Chief executive

This is the most senior executive of the RTO. This is the person legally responsible for the organisation as an RTO and its compliance with the *VET Quality Framework* and the *National Vocational Education and Training Regulator Act 2011*.

This is the person responsible for ensuring that the organisation cooperates with ASQA:

- in the conduct of audits and the monitoring of its operations
- by providing accurate and timely data relevant to measures of its performance
- by providing information about significant changes to its operations or ownership
- in the retention, archiving, retrieval and transfer of records consistent with ASQA's requirements
- by providing statements of the organisation's financial viability, an annual report, and/or business plan on request of ASQA (or a delegate)

The name and contact details of this person will be included on the national register ([training.gov.au](http://training.gov.au)).

## 4.3 Contact for general enquiries

This is a person or group (e.g. reception/enquiries) who can be contacted by prospective students or other interested parties enquiring into the services provided by the RTO.

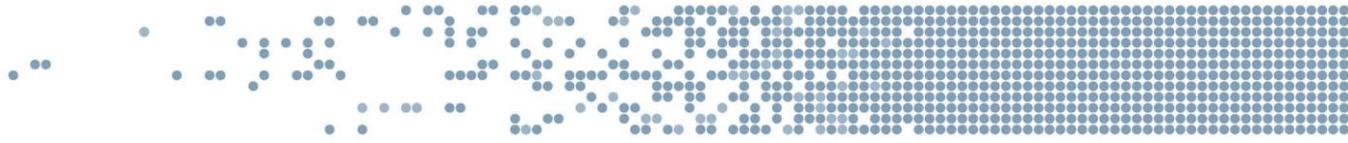
The contact details provided will be included on the national register ([training.gov.au](http://training.gov.au)).

## 4.4 Registration contact person

This is the person whom ASQA will contact if it requires any information about the registration of the RTO.

## 4.5 Proposed permanent delivery site/s (within and outside Australia)

Provide the street address of each delivery site (and the details of a contact person for each site) from which the RTO will permanently deliver training and assessment services. Such locations may be within and/or outside of Australia.



## 4.6 Proposed scope of registration

‘Scope of registration’ means the recognised training products that an organisation is registered to deliver and assess. It allows a national VET regulator (NVR) RTO to provide:

- training delivery and assessment services, and to issue the relevant VET qualifications or VET statements of attainment, or
- assessment services only, and issue VET qualifications or VET statements of attainment.

This section requires the nomination of the applicant’s proposed scope of registration. Accurate and full codes and titles of **currently endorsed** training package products or **currently accredited courses** must be used. Refer to the national register for full and correct codes and titles [training.gov.au](http://training.gov.au).

It is advisable to limit the proposed scope of registration in the initial application so that if the application is successful, the RTO can consolidate the quality of its operations before extending its scope. This will also limit the establishment costs, as the applicant must have the required resources in place for each product within the proposed scope.

Availability and suitability of resources for **all** VET courses sought will be examined as part of a site visit prior to the application being approved.

If you are seeking to offer courses to overseas students studying in Australia on overseas student visas, you will need to submit a separate application for initial [Commonwealth Register of Institutions and Courses for Overseas Students \(CRICOS\) registration](#).

**Please note:** An organisation may only seek registration for a qualification or the “Assessor Skill Set” from the Training and Education Training Package after it has held at least two years of continuous registration. Unless approved otherwise by ASQA, this application **MUST NOT** include any qualification from the Training and Education Training Package or any of the following units of competency (or their successors) which comprise the “Assessor Skill Set” from the Training and Education Training Package:

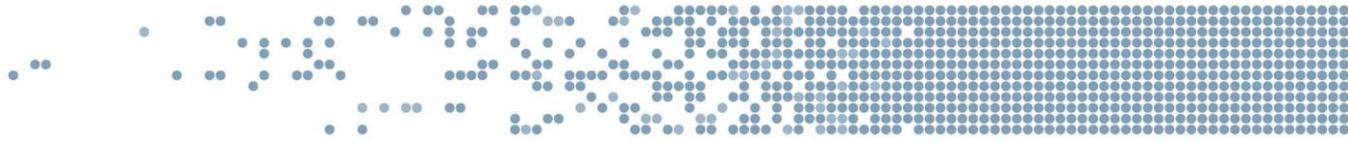
- TAEASS401B Plan assessment activities and processes
- TASASS402B Assess competence
- TAEASS403B Participate in assessment validation

**Table A**—List the correct national codes and titles of the training package qualifications and accredited courses the organisation wishes to deliver as a full qualification/course outcome and indicate in which state/territory the qualification/course will be offered.

**Table B**—Alternatively, or in addition to, if applying for specified units of competency to be delivered individually or as a skill set, enter the correct national codes for the units of competency. Note that training package defined skill sets are not allocated national codes. Leave the national code field blank if applying for a skill set from a training package.

**Please note:** If applying to deliver a full qualification in Table A, it is not necessary to list the individual units from that qualification that will be delivered as part of the qualification in Table B. Table B is only used if you are applying for a select number of units and do not wish to deliver the entire qualification.

It will be taken that your organisation is applying for registration to train and/or assess each listed qualification/course in every Australian state and territory, unless you indicate otherwise in the ‘Training and/or assessment delivery locations’ column.

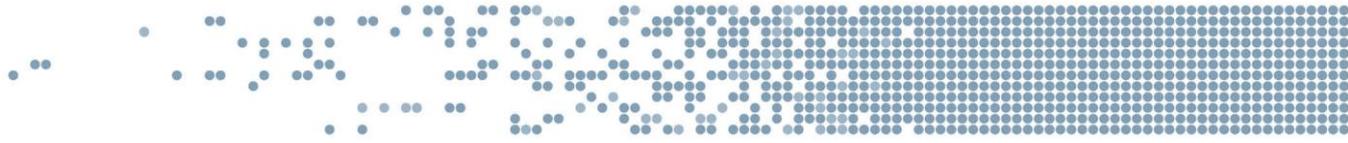


If preparing a paper-based application, additional rows can be added to the table if required.

-  If applying for an accredited course, you must **attach** a **current** copy of the course copyright owner's permission to use the course (this may be in the form of a licence agreement). Note: Should this permission no longer be current, expire or be withdrawn, a current copy must be provided to ASQA confirming continued permission.
-  There are additional requirements for some units of competency, skill sets, qualifications and/or accredited courses leading to licensed or regulated outcomes. In some cases, letters of support, or other documentation, must be obtained through the relevant industry regulator or licensing body and attached to this application. Without these the application will be considered to be incomplete. Applicants should review the **Additional requirements—licensed or regulated outcomes** information on [the ASQA website](#).

#### 4.7 Proposed operating context

This section relates to the intended operations if the organisation's registration application is granted. It gathers information such as the intention of the RTO to deliver to overseas students studying in Australia, and the location of delivery.



## Section 5 Financial viability risk assessment

### Financial viability risk assessment pack

Applicants must also be able to demonstrate they have established the foundations of a sustainable business so as to demonstrate their preparedness to operate as an RTO and to deliver quality training and assessment outcomes.

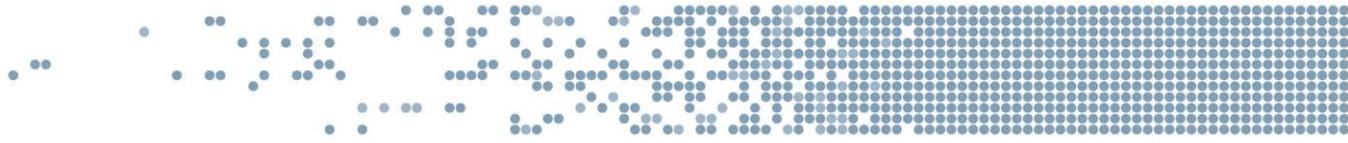
You can submit your pack up to 30 days before, or at the same time as, this initial registration application. The pack requires you to answer to a series of questions about your organisation's financial viability, including financial projections and business ratios. You will need an accountant's help to complete the pack.

If you submit an application for initial registration without the financial viability risk assessment pack, your application will be considered incomplete.

- Access the [Financial Viability Risk Assessment Pack](#)

## Section 6 Statutory declaration by chief executive

This statutory declaration must be completed by the chief executive of the organisation applying for registration. If the legal entity applying is a person, that person must complete the declaration. Among other things, the chief executive must declare that, if registered, they accept responsibility for ensuring compliance with the VET Quality Framework.



## Section 7 Application fees and submission

### 7.1 Submitting an application using ASQAnet

Applications for initial registration should be submitted using the online registration service, ASQAnet.

ASQAnet allows organisations to submit, manage and pay for their registration applications online. ASQAnet can be accessed at:

- [rms.asqa.gov.au](https://rms.asqa.gov.au)

When you prepare to finalise your application in ASQAnet, an invoice will be generated for the required fees—the application lodgement fee and the application assessment fee.

For an ‘Application for initial RTO registration’ submitted in ASQAnet:

- the **application lodgement fee** is \$800 per application.
- the **application assessment fee** is calculated as follows:
  - a **base fee** of \$8000 for registration for up to four qualifications (including accredited courses), 20 individual units of competency, and up to two delivery sites
  - **plus** \$145 for each additional qualification (or accredited course)
  - **plus** \$50 for each additional unit of competency
  - **plus** \$1395 for each additional Australian delivery site.

The application assessment fee is calculated on the number of qualifications, accredited courses and explicit units of competency indicated on your application.

Applicants should be prepared to pay these fees at the time of submitting their application.

ASQA will not commence assessing your application until this invoice is paid in full. If you do not make full payment within the 30 days specified on the invoice, ASQA may reject your application (and your **application lodgement fee** will be forfeited).

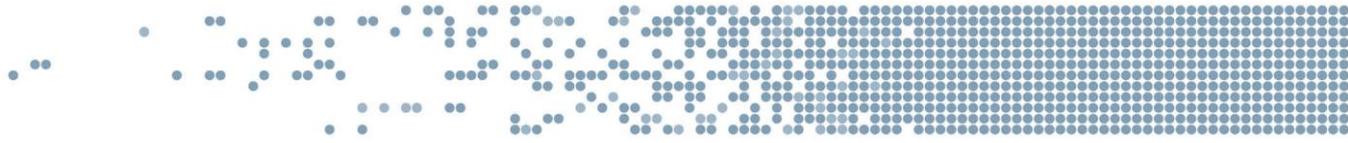
More information on the fees associated with initial registration as an RTO (including annual registration fees and compliance audit charges) is available in the [ASQA Schedule of fees 2014](#).

### Payment methods—applications submitted in ASQAnet

You can pay the invoice for the application lodgement fee and application assessment fee using:

- electronic funds transfer (EFT)
- BPAY®
- Visa or MasterCard, or
- cheque.

Please note that BPAY is only an available option where stated on the invoice. There is a \$10,000 limit on BPAY payments—please use another payment method if you are paying an invoice for an amount greater than \$10,000.



## 7.2 Submitting an application using an application form

Applicants not using ASQAnet should be aware that:

- BPAY and electronic funds transfer (EFT) payment is not available
- A \$500 data entry applies to each application.

### Email applications

Email your completed application form, including all evidence and attachments required, to [registration@asqa.gov.au](mailto:registration@asqa.gov.au).

If you are making payment by cheque, please ensure that you include your organisation's name and contact details with the cheque.

### Postal applications

Submit your completed application form, including all evidence and attachments required to:

Registration  
Australian Skills Quality Authority  
GPO Box 9928  
Melbourne VIC 3001

### Fees for submitting an application by post or email

The following fees apply to an application for initial registration submitted using an application form

- the **application lodgement fee** is \$800 per application.
- the **application assessment fee** is calculated as follows:
  - a **base fee** of \$8000 for registration for up to four qualifications (including accredited courses), 20 individual units of competency, and up to two delivery sites
  - **plus** \$145 for each additional qualification (or accredited course)
  - **plus** \$50 for each additional unit of competency
  - **plus** \$1395 for each additional Australian delivery site
- the **data entry fee** is \$500 per application.

The application assessment fee is calculated on the number of qualifications, accredited courses and explicit units of competency indicated on your application.

Applicants should be prepared to pay these fees at the time of submitting their application.

ASQA will not commence assessing your application unless all fees have been paid in full.