



Checklist - VRQA Guidelines for VET Providers

Information required to be submitted with Initial Applications to become a Registered Training Organisation (RTO) and/or for approval to deliver VET courses to overseas students (ESOS approval) from 1 January 2010.

Copies of original documents provided to the VRQA with the application/s must be certified by the Principal Executive Officer / Chief Executive Officer as true copies. All documents must be in final form; draft documentation will not be accepted.

Where practicable financial information submitted to the VRQA should be certified by an independent accountant.

1. Governance, Probity and Compliance with Statutory Requirements	
Guideline	Information Required to be submitted with an Application for RTO registration and/or ESOS approval
1.1 The provider must present a current strategic plan and detailed business plan which has been approved by its governing body	<p>Key strategic information</p> <ul style="list-style-type: none"> • Strategic Plan for 3 - 5 year period • Business Plan - minimum of 3 years • Refer Guidelines for suggested minimum content <p>Additional Requirements for ESOS approval:</p> <ul style="list-style-type: none"> • Business Plan must also detail: <ul style="list-style-type: none"> ○ the provider's international education agents, and annual appointment and monitoring arrangements ○ student recruitment processes, including planned sources of students by country
1.2 The provider must demonstrate its financial viability and its capacity to sustain quality VET operations into the future	<p>Detailed financial information</p> <ul style="list-style-type: none"> • Financial Plan - minimum of 3 years, may be part of provider's Business Plan • Contents to include key financial ratios (refer Guidelines) • Current audited financial statements • Bank guarantees or equivalent, to demonstrate solvency

	<ul style="list-style-type: none"> • Details of whether any person involved with the provider, e.g. in management or course provision, meets the descriptions listed in s4.3.11(2) of the <i>Education and Training Reform Act 2006</i>
<p>1.3 The provider must provide information about its management systems</p>	<p><i>Key corporate and management information</i></p> <ul style="list-style-type: none"> • Copy of company registration/incorporation or equivalent • Details of location of head office, must not be a mail box • Contact details for CEO / PEO and senior management - must provide 24 hour availability • Company structure, including details of directors and senior management • Police checks for directors and senior management to accompany the company structure • Working with children checks for directors and senior management if enrolling students under 18 years of age • Evidence of residence in Victoria of at least one Director or of the CEO / PEO (e.g. drivers licence, rental agreement, current rates or utilities bill) <p><i>Information on management systems</i></p> <ul style="list-style-type: none"> • Summary of key management systems utilised by the provider for following activities: <ul style="list-style-type: none"> ○ Financial management, including capability for managing student fee payments and refunds ○ Student records management (please provide evidence of its capacity to provide AVETMISS compliant data) ○ Staff records, capability to record detailed information on training and assessment staff (Minimum information required included in Guidelines 1.3) • Details and associated contracts for any management systems services provided by third party, including contract performance measure and management

	<p><i>Additional Requirements for ESOS approval:</i></p> <ul style="list-style-type: none"> • Details of education agents with more than 5% ownership in training organisation • Details of agent involvement in student fee management (collecting, managing and refunds) • Policy on security of student fees prior to commencement of studies
<p>1.4 The provider must have appropriate governance structures in place</p>	<p><i>Governance Framework</i></p> <ul style="list-style-type: none"> • Organisational chart, including directors and senior management • CVs of CEO / PEO and senior management • Details of relevant oversight committees or equivalent, including committee charters and membership <p><i>Additional Requirements for ESOS approval:</i></p> <ul style="list-style-type: none"> • Evidence of educational experience of CEO / PEO and senior management is crucial to clearly demonstrate that the provider's principal purpose is education
<p>1.5 Consistent with its overall governance arrangements the provider must have appropriate academic/educational governance arrangements</p>	<p><i>Educational experience</i></p> <ul style="list-style-type: none"> • Overview of provider's structures and mechanisms to maintain and improve quality of education outcomes • Details of any proposed committees of oversight, charter and membership • Details of any industry endorsement or involvement in the governance arrangements of provider
<p>1.6 The provider must report significant changes in its control, management or operations to VRQA and other regulatory agencies</p>	<ul style="list-style-type: none"> • Approved Board policy outlining process, timelines and responsibilities for notifying VRQA and other agencies of significant changes in its control, management or operations. Policy must reflect minimum requirements in the Guidelines
<p>2. Quality Assurance, Review and Evaluation Processes</p>	
<p>2.1 The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery</p>	<ul style="list-style-type: none"> • Policies and procedures for the following: <ul style="list-style-type: none"> ○ Mechanisms for collection, and taking action arising from, feedback from key stakeholders ○ Moderation program for training courses, including process for moderation and relevant staff

<p>2.2 The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices</p>	<ul style="list-style-type: none"> • Policy and procedure covering definition, identification and actions required to prevent and correct any plagiarism
<p>2.3 The provider must demonstrate that they can provide quality education and training to students</p>	<ul style="list-style-type: none"> • Copies of training and assessment materials for training scope. Details to include as a minimum: <ul style="list-style-type: none"> ○ Delivery and assessment plan ○ Assessment tasks and tests ○ Workbooks utilised by students ○ Class materials utilised by students ○ Student assessments ○ Staff involved in delivery of units
<p>3. Student Enrolment Records and Certification</p>	
<p><i>Requirement for ESOS approval only:</i></p> <p>3.1 The provider must have a written student acceptance agreement that includes details of ALL fees and charges that may be applied to the student and the circumstances in which they apply. In particular details of fees and circumstances for resit and reassessment must be included</p>	<ul style="list-style-type: none"> • Copy of comprehensive student acceptance agreement. Agreement must be final copy
<p><i>Requirement for ESOS approval only:</i></p> <p>3.2 The provider must stipulate in its written agreement that students are entitled, at no additional cost, to a formal Statement of Attainment on withdrawal, cancellation or transfer, prior to completing the qualification, provided the student has paid in full for the tuition related to the units of competency to be shown on the Statement of Attainment</p>	<ul style="list-style-type: none"> • Copy of comprehensive student acceptance agreement. Agreement must be final copy
<p><i>Requirement for ESOS approval only:</i></p> <p>3.3 The provider must demonstrate that it will be keeping copies of all student acceptance agreements along with details of any fees and charges and refunds for a period of 2 years after cessation of students' study</p>	<ul style="list-style-type: none"> • Detailed policies and procedures in records management and retention policy for student records • Certification of capacity of records management system to maintain relevant data. Could include certification from independent third party on adequacy of records management system

<p>3.4 For provision of course to domestic students (students who do not hold Student Visas) a provider who is not exempt under the provisions of any ministerial direction, order, regulation or Act must:</p> <ul style="list-style-type: none"> • Be a member of a Tuition Assurance Scheme for domestic of students or • Obtain appropriate Tuition Fee insurance, or bank guarantee to meet refund of fees paid in advance, or • Only accept student payments in arrears 	<ul style="list-style-type: none"> • Copies of Tuition Assurance Scheme membership and nature of coverage or • Copies of Tuition Fee insurance policy adequate to repay fees paid in advance or • Fee policy stating fees received in arrears • Copy of student acceptance agreement outlining fees payment process, clearly documenting fees paid in arrears
<p><i>Requirement for ESOS approval only:</i></p> <p>3.5 Where a provider seeks to apply for or extend their CRICOS approval into the delivery of VET courses they must take out Tuition Assurance Scheme (TAS) coverage</p>	<ul style="list-style-type: none"> • Copies of Tuition Assurance Scheme membership and nature of coverage
4. Student Learning Outcomes and Welfare Services	
<p>4.1 A provider must not require or permit students to attend scheduled classes (including time allocated for self paced or online studies) for more than 8 hours in one day.</p>	<ul style="list-style-type: none"> • Detailed timetable for all courses to be provided • Delivery plans and class schedules • Marketing material confirming normal operating hours
<p>4.2 A provider must not require or permit full time students to attend scheduled classes (including time allocated for self paced or online studies) outside of 0800hrs to 2200hrs on any day.</p>	<ul style="list-style-type: none"> • Detailed timetable for all courses to be provided • Delivery plans and class schedules • Policies and procedures on timetable and delivery plans
<p><i>Requirement for ESOS approval only:</i></p> <p>4.3 A provider must demonstrate that it is providing students with sufficient and relevant student services</p>	<ul style="list-style-type: none"> • Confirmation of key staff employed for student welfare activities • Documented policies and procedures for student support and welfare services to support proposed student numbers. Provide details of ratios of staff to proposed student numbers

	<ul style="list-style-type: none"> • Student services and welfare documentation which includes as a minimum: <ul style="list-style-type: none"> ○ welfare services ○ accommodation services ○ academic and career advice services ○ IT support services ○ English language services ○ social activities ○ name and contact details of student support personnel
<p>4.4 Providers must indicate the measure they intend to take to address matters of student safety</p>	<ul style="list-style-type: none"> • Detailed timetable for all courses to be provided • Delivery plans and class schedules • Policies and procedures on timetable and delivery plans • Policies and procedures on security and safety measures at provider delivery sites • Details and experience of staff employed to maintain safety and security of students or details of third parties use to maintain safety and security (where a third party, copy of contractual agreement to be provided) <p><i>For providers operating after 1800 hours, or at weekends, or at locations such as industrial areas, etc (refer to guidelines for other factors):</i></p> <ul style="list-style-type: none"> • Detailed measures to maximise student safety/security in attending and travelling to/from location • Detailed safety/security information to be provided to students before and after enrolment
5. Teaching, Learning and Assessment	
<p>5.1 The provider must demonstrate that they have the capacity to deliver and assess ALL the course requested/on the scope of registration</p>	<ul style="list-style-type: none"> • Certification that comprehensive delivery and assessment strategies are available for all courses requested on scope • Certification that training and assessment* resources are suitable for all units of competency and courses they are to deliver • Certification that relevant workplace agreements are available for relevant courses applied for <p>*Please refer to the Guidelines for the minimum information requirements.</p>

	<p>The provider must be able to provide all relevant information if requested by the VRQA at any time. These areas will be subject to detailed review at initial audit. VRQA may request examples of this information prior to commencement of audit process.</p> <p><i>Additional evidence required for all RTOs delivering institution based programs (i.e. not online):</i></p> <ul style="list-style-type: none">• Details of dedicated and operational education facilities, including plan of buildings, relevant planning permits. Facilities to include key areas (Refer to the Guidelines for details)• Evidence that building suitable for educational purposes, (refer the Guidelines for details of codes and regulations required). All copies provided to the VRQA must be certified and current, within 6 months prior to the application• Lease agreements for all premises utilised by the provider, lease agreements should cover period of course
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