



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

**DATE:**

<b>APPLICANT DETAILS</b>			
Applicant name:			
Address:			
Website:			
Registration contact:		Position:	
Telephone:		Email:	
<b>Intended type of RTO</b>			
Intended type of RTO – 1: (assessment only, training and assessment)			
Intended type of RTO – 2: (for example, enterprise-based, community, commercial)			
<b>Office use only</b>			
Date received:	Notes:		
Number:			

## **AQTF Essential Conditions and Standards for Initial Registration SELF ASSESSMENT**

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### **NOTE TO APPLICANTS**

#### **Preparation**

Applicants are required to complete and submit this self-assessment report when applying to be registered as an RTO. It is strongly recommended that applicants familiarise themselves thoroughly with the following documents and seek advice if the requirements for compliance are not clear:

- *AQTF Essential Conditions and Standards for Initial Registration*
- *AQTF Essential Conditions and Standards for Continuing Registration*
- *AQTF Users' Guide to the Essential Conditions and Standards for Initial Registration*
- *AQTF Users' Guide to the Essential Conditions and Standards for Continuing Registration.*

#### **Using this template**

Applicants seeking registration could use this self assessment template to monitor progress towards compliance with the *AQTF Essential Conditions and Standards for Initial Registration*. The 'result' boxes in the template, 'non compliant' and 'not audited' can be used to record progress.

Applicants seeking registration are to use this self assessment template to summarise evidence of compliance with the *AQTF Essential Conditions and Standards for Initial Registration* when applying for registration.

The registering body will only accept applications from organisations applying for registration where the self assessment report confirms compliance in each of the Conditions of Registration and the Standards; therefore the 'result' boxes in the template ('non compliant' and 'not audited') will not be marked in these circumstances.

The self assessment report should itemise the evidence that the organisation applying for registration has in place to demonstrate compliance.



## AQTF Essential Conditions and Standards for Initial Registration

### SELF ASSESSMENT

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The self assessment process should be both rigorous and evidence based: if it is not, organisations applying for registration may not be well prepared for the registration audit. Please refer to *Section 4 – Preparing for an audit* of the *AQTF Users' Guide to the Essential Conditions and Standards for Initial Registration* for information about preparing for an audit.



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SELF ASSESSMENT**

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**CONDITIONS of REGISTRATION**

CONDITIONS OF REGISTRATION		
<b>CONDITION 1: Governance</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



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SELF ASSESSMENT**

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<b>CONDITION 2: Interactions with The Registering Body</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

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<b>CONDITION 3: Compliance with Legislation</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

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<b>CONDITION 4: Insurance</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



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**SELF ASSESSMENT**

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<b>CONDITION 5: Financial Management</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>





**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

**DATE:**

<b>CONDITION 6: Certification and Issuing of Qualifications and Statements of Attainment</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration**  
**SELF ASSESSMENT**

**APPLICANT:**

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<b>CONDITION 7: Recognition of Qualifications Issues by Other RTOs</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

**DATE:**

<b>CONDITION 8: Accuracy and Integrity of Marketing</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration**  
**SELF ASSESSMENT**

**APPLICANT:**

**DATE:**

<b>CONDITION 9: Transition to Training Packages/Expiry of Accredited Courses</b>		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the Condition to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

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**STANDARDS and ELEMENTS**

<b>STANDARD 1: The applicant has strategies in place to provide quality training and assessment across all of its operations</b>		
<b>1.1 The applicant has a defined continuous improvement strategy that allows for the collections and analysis of data. The strategy includes implementation of continuous improvement activities for training and assessment.</b>		
<b>Intent:</b> The applicant has a clear plan to collect data and improve training and assessment in response to the data collected. Continuous improvement processes will lead to performance over and above compliance with the <i>AQTF Essential Conditions and Standards for Continuing Registration</i> and achieving outcomes over and above those previously achieved.		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	
	Non-compliant	
	Not audited	



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SELF ASSESSMENT**

**APPLICANT:**

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<b>1.2 Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and have been developed in consultation with industry.</b>		
<b>Intent:</b> On registration, all training and assessment strategies meet the requirements of the Training Package or accredited course. All training and assessment strategies are clearly informed by industry consultation and are systematically reviewed.		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



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SELF ASSESSMENT**

**APPLICANT:**

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<b>1.3 Staff, facilities, equipment and training and assessment materials to be used by the applicant are consistent with the requirements of the Training Package or accredited course and the applicant's own training and assessment strategies.</b>		
<b>Intent:</b> The resources to be used by the applicant when it gains registration as an RTO across all of its operations are consistent with current industry standards and Training Package requirements.		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>

## AQTF Essential Conditions and Standards for Initial Registration SELF ASSESSMENT

**APPLICANT:**

**DATE:**

- 1.4 The applicant has a defined strategy, procedures and measures to ensure that training and assessment are conducted by trainers and assessors who:**
- a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and**
  - b) have the relevant vocational competencies at least to the level being delivered or assessed, and**
  - c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and**
  - d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

**Intent:** On registration, all trainers and assessors of nationally recognised training will meet nationally agreed competency requirements and continue to develop their competence.

Evidence	Result	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



## AQTF Essential Conditions and Standards for Initial Registration SELF ASSESSMENT

**APPLICANT:**

**DATE:**

**1.5 The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL):**

- a) will meet the requirements of the relevant Training Package or accredited course
- b) will be conducted in accordance with the principles of assessment and the rules of evidence
- c) will meet workplace and, where relevant, regulatory requirements
- d) is systematically validated.

**Intent:** On registration, assessment will ensure that only learners who hold the requisite skills and knowledge are certified as competent.

Evidence	Result	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

**DATE:**

**STANDARD 2: The applicant has strategies in place to adhere to the principles of access and equity and maximise outcomes for its clients**

<b>2.1 The applicant has a strategy in place detailing how it will establish and meet the needs of clients.</b>		
<b>Intent:</b> On registration, client services will meet clients' needs.		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

**DATE:**

<b>2.2 The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of relevant data.</b>		
<b>Intent:</b> The applicant has a clear plan to collect, analyse and act on data and improve client services when it commences operation. Continuous improvement processes refer to the continual enhancement of an RTO's performance so that the changing needs of clients and industry continue to be met. Continuous improvement does not relate to actions to achieve compliance as such actions are considered rectifications.		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

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<b>2.3 The applicant has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.</b>		
<b>Intent:</b> On registration, clients will be provided with accurate and sufficient information to make an informed choice about their enrolment and/or entering into an agreement.		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



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SELF ASSESSMENT**

**APPLICANT:**

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<b>2.4 Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engage with employers or other parties who contribute to each learner's training and assessment on the development, delivery and monitoring of training and assessment.</b>		
<b>Intent:</b> On registration, learners, including apprentices and trainees, receive support from all parties engaged in their training and assessment.		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

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<b>2.5 The applicant has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual needs.</b>		
<b>Intent:</b> On registration, learners will have every reasonable opportunity to complete their training program.		
<b>Evidence</b>	<b>Result</b>	<b>✓</b>
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



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SELF ASSESSMENT**

**APPLICANT:**

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<b>2.6 The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation.</b>		
<b>Intent:</b> Learners will have access to their records.		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

**APPLICANT:**

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<b>2.7 The applicant has a defined complaints and appeals process that will ensure learners' complaints and appeals are addressed efficiently and effectively.</b>		
<b>Intent:</b> Complaints and appeals will be managed fairly, efficiently and effectively.		
<b>Evidence</b>	<b>Result</b>	<input checked="" type="checkbox"/>
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	<input type="checkbox"/>
	Non-compliant	<input type="checkbox"/>
	Not audited	<input type="checkbox"/>





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SELF ASSESSMENT**

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**STANDARD 3:** The applicant has in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate.

**3.1 The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.**

**Intent:** Clients' rights as consumers will be protected.

**Evidence**

A description of the evidence reviewed against the element to demonstrate compliance.

Result	✓
Compliant	<input type="checkbox"/>
Non-compliant	<input type="checkbox"/>
Not audited	<input type="checkbox"/>



## AQTF Essential Conditions and Standards for Initial Registration SELF ASSESSMENT

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3.2 The applicant has a defined strategy for the implementation of a systematic continuous improvement approach to the management of operations.										
<b>Intent:</b>	<p>The management system ensures that the applicant will meet:</p> <ul style="list-style-type: none"> <li>The AQTF Essential Conditions and Standards for Continuing Registration</li> <li>Legislation and regulations under which it is registered, and that it will systematically improve performance against the AQTF Essential Conditions and Standards for Continuing Registration.</li> </ul> <p>Continuous improvement processes refer to the continual enhancement of an RTO's performance so that the changing needs of clients and industry continue to be met. Continuous improvement does not relate to actions to achieve compliance as such actions are considered rectifications.</p>									
<b>Evidence</b>		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #ccc;"> <th style="padding: 5px;">Result</th> <th style="padding: 5px;">✓</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">Compliant</td> <td style="text-align: center; width: 30px;"> </td> </tr> <tr> <td style="padding: 5px;">Non-compliant</td> <td style="text-align: center;"> </td> </tr> <tr> <td style="padding: 5px;">Not audited</td> <td style="text-align: center;"> </td> </tr> </tbody> </table>	Result	✓	Compliant		Non-compliant		Not audited	
Result	✓									
Compliant										
Non-compliant										
Not audited										
A description of the evidence reviewed against the element to demonstrate compliance.										



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SELF ASSESSMENT**

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<b>3.3 Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Initial Registration.</b>		
<b>Intent:</b> On registration, services delivered under partnering arrangements will comply with the AQTF Essential Conditions and Standards for Continuing Registration.		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	
	Non-compliant	
	Not audited	



**AQTF Essential Conditions and Standards for Initial Registration  
SELF ASSESSMENT**

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<b>3.4 The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.</b>		
<b>Intent:</b> On registration, records maintained by the applicant support the continuous improvement of its operations and provide evidence of compliance with the <i>AQTF Essential Conditions and Standards for Continuing Registration</i> .		
<b>Evidence</b>	<b>Result</b>	✓
A description of the evidence reviewed against the element to demonstrate compliance.	Compliant	
	Non-compliant	
	Not audited	



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**Declaration by organisation's Chief Executive:**

I (insert name), \_\_\_\_\_, confirm that this self-assessment is an accurate and true reflection of the compliance status of the applicant.

<b>Signature:</b>
<b>Name:</b>
<b>Position:</b>
<b>Contact details:</b>
<b>Phone:</b>
<b>Email:</b>
<b>Date:</b>



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