



**Phase One Information Requirements – Delivery of VET Courses**

Appendix 1

The following checklist prescribes the information required to be submitted for Phase One of the assessment of your application. The level of detail of the checklist will assist you in ensuring that no information is omitted.

**Note:** Phase one assessment will not commence until all required information has been received. Please complete this Appendix and return it to the VRQA with the submission of your Phase One information. For guidance in completing this Appendix please refer to the notes section at the bottom of this Appendix. The VRQA reserves the right to request any additional information considered necessary.

| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name Para ref3 | **VRQA checklist**(for VRQA use only) |
| --- | --- | --- | --- | --- | --- |
| 1. | 1.1 | Approved current strategic plan | The Strategic plan should contain the following: |
| 1. Overall vision and mission.
 |  |  | [ ]  |
| 1. Board of directors.
 |  |  | [ ]  |
| 1. Strategic direction.
 |  |  | [ ]  |
| 1. Primary purpose is provision of vocational education.
 |  |  | [ ]  |
| 2. | 1.1 | Approved business plan | The business plan should contain the following: |
| 1. Description of the business including organisational charts, courses, locations and facilities.
 |  |  | [ ]  |
| 1. Continuous improvement plan or risk management strategy.
 |  |  | [ ]  |
| 1. Workforce development plan.
 |  |  | [ ]  |
| 1. Student safety and security measures.
 |  |  | [ ]  |
| 1. Details of any strategic alliance with other education or service providers.
 |  |  | [ ]  |
| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name | **Para ref3** | **VRQA checklist**(for VRQA use only) |
| 3. | 1.2 | Three-year financial forecast (comprising a fully reconciled and integrated profit & loss statement, cashflow and balance sheet in Microsoft Excel spreadsheet). | The financial forecast must be a **fully integrated three-dimensional model** of the legal entity applying for registration and must contain the following: |
| 1. Fully integrated cash flow, profit & loss and balance sheet (**Excel spreadsheet**) by month for the first financial year and annually thereafter.

The profit & loss statement and balance sheet should be prepared on an accrual basis. |  |  | [ ]  |
| 1. Explanatory document outlining key assumption underpinning the financial plan.
 |  |  | [ ]  |
| 1. Projection of student enrolments by qualification per year (including student numbers and course fees). This should reconcile to the profit & loss statement.
 |  |  | [ ]  |
| 1. Detailed market analysis and other information to support projected student enrolment numbers.
 |  |  | [ ]  |
| 1. Financial indicators (**Excel spreadsheet**):
	* cash flow
	* current ratio
	* debt ratio
	* creditor and debtor days.
 |  |  | [ ]  |
| 1. Details of estimated or actual start-up costs reconciled to the financial plan (Excel spreadsheet).
 |  |  | [ ]  |
| 1. Detailed documentation supporting the forecasts of major expense items including:
* salaries & wages
* rent
* TAS.
 |  |  | [ ]  |
| 1. Details of guarantees and other financial support available to the RTO including:
* extent ($)
 |  |  | [ ]  |
| * nature of such guarantee and/or support (i.e. personal guarantee, bank guarantee, line of credit, mortgage over property etc).
 |  |  |  |
| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name | Para ref3 | **VRQA checklist**(for VRQA use only) |
|  |  |  | 1. Details of any guarantees or other financial commitments provided by the RTO to any party.
 |  |  | [ ]  |
| The financial plan should be consistent with the entity’s business plan.In accordance with condition 5 of the Australian Quality Training Framework, the financial plan should be certified by a qualified accountant. |  |  |  |
| 4. | 1.2 | Details of senior management group | Information on any person involved in management or provision of services by the organisation who meet any of the descriptions below (refer section 4.3.11(2) of ETR Act):* has ever had their registration under Division 4.3 of the ETR Act suspended or cancelled.
* has ever had conditions imposed on their registration under Division 4.3 of the ETR Act.
* has ever been convicted of an indictable offence.
* has ever become bankrupt or taken the benefit of any law for the relief of bankrupt debtors, compounded with their creditors or made an assignment of their property for their benefit.
* has ever been disqualified from managing a corporation under Part 2D.6 of the Corporations Act 2001.
* was involved in the provision of courses by another person or body who is covered by paragraphs above at the time of the events that gave rise to the relevant prosecution or other action.
 |  |  | [ ]  |
| 5. | 1.2 | Additional Financial Information for **existing businesses** (i.e. enterprises that have commenced operations) | a. Current ATO Tax Portal:* due date
* date of EFT/Cheque was presented and information outing if the provider has ever been in arrears in terms of any ATO debt and information regarding payment plans.
 |  |  | [ ]  |
| b. The last three payments made to superannuation funds, including their:* due date
* the date of EFT/Cheque was presented.
 |  |  | [ ]  |
| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name | Para ref3 | **VRQA checklist**(for VRQA use only) |
|  |  |  | 1. Information regarding the rental agreement(s) for each of premises the provider holds including:
* copy of each lease agreement
* the total amount of repayments owing
* the remaining term for each of the lease agreements, and
* the last three rent payments, including their due date and the date of EFT/Cheque was present.
 |  |  | [ ]  |
| 1. Aged creditors and debtors reports for the most current month end and most recent financial year end.
 |  |  | [ ]  |
| 1. Current employee numbers spilt into full-time, part-time, casual.
 |  |  | [ ]  |
| 1. Details of all bank accounts, (including loan/overdraft accounts), including:
* current bank balance
* approved facility limit (if a loan account / overdraft account)
* bank balance as at most recent financial year end and as at most recent month end
* bank reconciliation as at most recent financial year end and as at most recent month end
* bank statement as at most recent financial year end and as at most recent month end.
 |  |  | [ ]  |
| 1. Details of any further access to funding that the business may have, including bank loans, director loans, capital injection and/or personal guarantees.
 |  |  | [ ]  |
| 1. Details of all insurance policies (e.g. public liability insurance), including date of expiry and copies of the certificate of currency.
 |  |  | [ ]  |
| 1. Detail any unresolved legal disputes or litigation against the provider, including the contact details of the provider’s legal advisors.
 |  |  | [ ]  |
|  |
| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name | Para ref3 | **VRQA checklist**(for VRQA use only) |
|  |  |  | 1. A copy of:
* the last two years’ signed financial statements
* the last two financial years’ management accounts
* current year-to-date management accounts, including profit and loss, balance sheet, cash flow statement and notes to the accounts.
 |  |  | [ ]  |
| 1. Provide full contact details of any external accounting advisors (e.g. audit, tax or management accounting assistance).
 |  |  | [ ]  |
| 6. | 1.3 (a) | Information management | Please provide the following information: |  |  |  |
| 1. Evidence of company incorporation in Australia or of being an incorporated body in receipt of government funds.
 |  |  | [ ]  |
| 1. Physical address of company in Victoria for service of notices.
 |  |  | [ ]  |
| 1. Name and police check of directors, CEO/PEO and senior management members.
 |  |  | [ ]  |
| 1. Evidence of at least one director or CEO/PEO having their primary residence in Victoria.
 |  |  | [ ]  |
| 1. Contact details of CEO/PEO during business hours, and during holidays and other closedown periods.
 |  |  | [ ]  |
| 1. Physical addresses of the location of financial, student and staff records including archives and computer back up storage.
 |  |  | [ ]  |
| 7. | 1.3(b) | Financial management systems | Please provide information on the financial management systems used by the RTO including its capacity for managing student fee payments and student refund. |  |  | [ ]  |
| 8. | 1.3(c) | Student records management system | Provide information on students’ records management system to:* demonstrate the capacity to provide the VRQA with AVETMISS compliant data
* ensure student records are not able to be withheld from the organisation
 |  |  | [ ]  |
| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name | Para ref3 | **VRQA checklist**(for VRQA use only) |
|  |  |  | * indicate that system has the ability to provide electronic and print versions of student records at no cost to the VRQA in the event the provider ceases operations.
 |  |
| 9. | 1.3(d) | Staff records management system | Written confirmation that the records management system has the capacity to hold information for training and assessment staff. (Refer Guideline 1.3 for details of information required) Confirmation may include system specifications or screen shots of records management system. Any copies of information provided must be certified as true copies. During phase two of the audit process evidence of the system capacity will be verified. |  |  | [ ]  |
| 10. | 1.3 | Student fees received in advance | Please detail the mechanisms for securing student fee payments for the period from receipt of funds to the students’ commencement of studies having regard to the requirements of AQTF Condition 5. |  |  | [ ]  |
| 11. | 1.4 | Governance structure | Please provide the following information concerning the governance structures of the RTO: |  |
| a. Overall governance arrangements and ownership. |  |  | [ ]  |
| 1. Details of board of directors, governing council, academic board, executive management and/or academic management.
 |  |  | [ ]  |
| 1. Qualifications and educational experience of the PEO/CEO and members of the RTO’s senior management team.
 |  |  | [ ]  |
| 1. Membership of committees established to oversee academic/educational integrity and assure quality.
 |  |  | [ ]  |
| 12. | 1.4 | Academic/educational governance arrangements | Evidence required:* Independent individual, boards or committees providing access to expertise to ensure integrity in the educational process and standards are consistent with industry and education expectations.
 |  |  | [ ]  |
| **Requirement1** | **Guideline1** | **Information required** | **Detailed requirements** | **File Reference2**File name | Para ref3 | **VRQA checklist**(for VRQA use only) |
|  |  |  | * This evidence may include:
	+ the nomenclature
	+ terms of references; and
	+ membership details including names, qualifications and experience of properly constituted academic/educational and/or industry advisory boards and committees.
 |  |  |  |
| 13. | AQTF Condition 2.  | Mechanisms established to report significant changes in control, management or operations | Please detail the mechanisms to be used to ensure the VRQA is notified of any significant events impacting the RTO, including:* changes in financial viability or debt ratio
* changes in financial guarantor arrangements
* membership status of any Tuition Assurance Scheme or fee insurance arrangement
* mechanisms for securing student fee payments for the period from receipt of funds to the students’ commencement of studies.
 |  |  | [ ]  |
| 14. |  | Statutory Declaration | Please complete and return the Statutory Declaration attached as Appendix 2 to this letter. |  |  | [ ]  |
| 15. |  | Declaration regarding completeness of application | Please complete and return the declaration attached as Appendix 3 to this letter acknowledging your obligations to submit all requested evidence. |  |  | [ ]  |
| The following notes will assist RTOs complete this appendix which should be submitted with the Phase One information: |
| **Note 1** | The information Requirement List includes 14 sections that have been mapped to the VRQA Guidelines for VET Providers. RTOs should ensure that they are familiar with the VRQA Guidelines for VET Providers. |
| **Note 2** | Please forward all information other than the Statutory Declaration in electronic format (soft copy) and include this appendix and the completed Statutory Declaration with your submission referencing each of the 14 requirements to the appropriate file containing the requested information.The formats for the submission of information are as follows:* financial information – Microsoft Excel
* other information – Microsoft Word or PDF.
 |
| **Note 3** | Where information is submitted in Microsoft Word, paragraphs within the document should be numbered and the required information should be cross referenced to the file name and paragraph number. For example:* Requirement 1 Strategic Plan information a. Overall Vision & Mission – refer Req1.doc paragraph 15–17
* Requirement 1 Strategic Plan information b. Board of Directors – refer Req1.doc paragraph 25.
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| **Appendix 2 – Statutory Declaration** |

Made under the *Oaths and Affirmations Act 2018*

|  |  |  |
| --- | --- | --- |
| I |  | (print name)  |
| Director/responsible person of |  | (name of your Institution) |
|  | declare that: |  |
|  | * I have read and understood the VRQA's Guidelines for VET Providers.
 |
| * I have read and understood the I have read and understood the obligations imposed on entities registered under Part 4.3 of the Act as registered training organisations, namely, the obligations set out in the *Education & Training Reform Act 2006,* the Education and Training Reform Regulations 2007 and the RTO Standards (as that term is defined in the *Education and Training Reform Act 2006*).
 |
| * The strategic plan submitted with this application has been prepared and approved by the board of directors or governing body of my institution.
 |
|  | * The business plan submitted with this application has been prepared and approved by the board of directors or governing body of my institution.
 |
| * The financial plan/forecast submitted with this application has been prepared and approved by the board of directors or governing body of my institution.
 |
| * I have provided the VRQA with all relevant information about the individuals who will be involved in the management of, and/or provision of courses by, my institution to enable the VRQA to ascertain whether any such individual meets any of the descriptions listed in section 4.3.11(2) of the *Education and Training Reform Act 2006.*
 |
| Declared at |  | (location of signing) |
| In the State of Victoria, this  |  | (day) of  |  | (month), 202\_ (year) |
| x | (signature of Director – to be signed in front of a witness) |
| **Authorised witness\*** |  |
| Before me |  | (signature of witness) |
|  |  | (full name of witness) |
|  |  | (address of witness) |

\*The authorised witness must write, type or stamp their name, the capacity in which they have authority to witness a statutory declaration and their address in accordance with section 30 of the *Oaths and Affirmations Act 2018*.

The *Oaths and Affirmations Act 2018* requires additional declarations or certifications to be made if the statutory declaration is translated or read to the person making the declaration; signed electronically; if copies of documents are attached to the statutory declaration; or if the declaration is made or witnessed using an audio‑visual link. This form is not pre-filled to meet these additional requirements.

For more information about additional formal requirements or for a list of authorised persons who may witness statutory declarations under the *Oaths and Affirmations Act 2018*, see: [www.justice.vic.gov.au/statdecs](http://www.justice.vic.gov.au/statdecs)

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| **Appendix 3 – Declaration of completeness** |
| Applicant to complete |
| All required evidence of compliance against the Phase One Information Requirements has been included. I understand that an application submitted without a completed checklist and/or without evidence against Phase One Information Requirements will be considered incomplete and returned to me. |
|  | (signature of Director) |
|  | (date) |