# Application form for registration as a Private Training Establishment

Use this form if you wish to apply for registration as a private training establishment (PTE).

Each section of this form corresponds to the relevant section of NZQA’s [Guidelines for PTE Registration](http://www.nzqa.govt.nz/providers-partners/guidelines-and-forms/), which provides detailed information and guidance for applicants. Please read the *Guidelines* before filling in this form.

If you have not already done so, advise NZQA that your organisation is preparing an application for PTE registration - email: Team Mailbox Approvals and Accreditation

Staff from the Approvals and Accreditation team may arrange a meeting to discuss your application with you before submission to NZQA.

An applicant may request that Te Hono o Te Kahurangi quality assurance is used for assessment of the application. In addition to meeting registration requirements the application should relate to ngā kaupapa o Te Hono o Te Kahurangi. For more information see [Te Hono o Te Kahurangi quality assurance](https://www.nzqa.govt.nz/maori-and-pasifika/te-hono-o-te-kahurangi/) or email tehono@nzqa.govt.nz.

**Using this form**

Please fill the form out electronically and send it with supporting documents to qaadmin@nzqa.govt.nz.

Please include all supporting documents with the application and indicate what these documents are in the relevant sections of this form.

See the **Submitting the** application **form and supporting documents** section at the end of the form for more information about how to submit the form to NZQA.

## Name and contact details

Please provide the following details.

## Organisation details

|  |  |
| --- | --- |
| Organisation name |  |
| Trading As |  |
| MoE# (if issued) |  |

## Contact details for the organisation

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Country | Area | Number | Extension |
| Phone |  |  |  |  |
| Fax |  |  |  |  |
| Mobile phone |  |  |  |
| Email |  |
| Website |  |

## Physical address of the organisation

|  |  |
| --- | --- |
| Line 1 |  |
| Line 2 |  |
| Suburb |  |
| City |  | Postcode |  |
| Country |  |

## Postal address of the organisation

*The postal address is the same as the physical address* Yes/No (delete one)

If no, provide the postal address of the proposed PTE.

|  |  |
| --- | --- |
| Line 1 |  |
| Line 2 |  |
| Suburb |  |
| City |  | Postcode |  |
| Country |  |

**Key contact person for this application**

*NZQA will contact this person about any matters relating to this application.*

|  |  |  |  |
| --- | --- | --- | --- |
|  | Title | First name | Surname |
| Name |  |  |  |
| Position |  |
| Email |  |
|  | Country | Area | Number | Extension |
| Phone |  |  |  |  |
| Fax |  |  |  |  |
| Mobile phone |  |  |  |

## Evidence the applicant is a body corporate

To be registered as a PTE, the organisation must be one of the following:

* a limited liability company
* an incorporated society
* a charitable trust.

|  |  |
| --- | --- |
| Legal status of the organisation |  |
| **Please provide as applicable** | **Attached (delete one)** |
| A company registration certificate, certificate of incorporation or other document recognising the applicant’s legal status as a body corporate | Yes/No |
| *If the body corporate has been incorporated for more than one year*The most recent Annual Return to the Registrar of Companies or the Registrar of Societies must accompany the application | Yes/Not applicable |
| *If the body is a limited liability company*Details of any changes to the company’s capital structure, shareholding, directors or secretary that may have taken place since the most recent return was filed | Yes/Not applicable |

## A statement of the education the applicant proposes to provide

*A: Information about the kind of education proposed*

See section 2.3 of the Guidelines for PTE registration for further details.

|  |  |
| --- | --- |
| Kind or kinds of education the PTE proposes to provide | (Fields, vocations, professions, trades; classroom based and/or online and/or workplace) |
| Educational outcomes the PTE seeks to achieve |  |
| Profile of intended students |  |
| Profile of relevant communities and key stakeholders |  |
| Relationship of Business Plan to Tertiary Education Strategy |  |

*B: Meeting student and stakeholder needs*

Provide a written statement about how the proposed PTE will meet the needs of students and key stakeholders. This must include the processes used to identify the needs of students and stakeholders (e.g. any consultation) and how the PTE will ensure it continues to identify and meet these needs.

Please include the electronic statement with the application.

*C Implementing the proposed education*

To show how the applicant will implement the proposed education, provide a business plan that covers:

* the development and delivery of the programmes or micro-credentials the applicant will provide
* resources for education provision (e.g. staff, equipment, premises)
* proposed financial practices and projected performance.

Please include an electronic copy of the plan with the application.

## Names of the governing members of the PTE

See section 2.4 of the Guidelines for PTE registration for further details.

## Evidence the governing members are fit and proper persons

Including a statutory declaration from each governing member

See section 2.5 of the Guidelines for PTE registration for further details.

## NZQA requires a verified copy of each member’s passport or birth certificate

See section 2.6 of the Guidelines for PTE registration for further details.

Documents require a verified translation if not in English or Te Reo Māori

Each proposed governing member must complete a [*Statutory Declaration as a fit and proper person and of conflicts of interests* form.](https://www2.nzqa.govt.nz/assets/Tertiary/PTE/stat-declaration-fit-and-proper-person-conflicts-of-interests.docx)

Please include these forms with the application.

**Add or delete tables as needed.**

|  |  |
| --- | --- |
| Name of governing member |  |
| Verified copy of passport or birth certificate attached? | Yes/No (delete one) |
| *Statutory Declaration as a fit and proper person and of interests* form completed and attached? | Yes/No (delete one) |
| Curriculum Vitae (CV) attached? | Yes/No (delete one) |

|  |  |
| --- | --- |
| Name of governing member |  |
| Verified copy of passport or birth certificate attached? | Yes/No (delete one) |
| *Statutory Declaration as a fit and proper person and of interests* form completed and attached? | Yes/No (delete one) |
| Curriculum Vitae (CV) attached? | Yes/No (delete one) |

|  |  |
| --- | --- |
| Name of governing member |  |
| Verified copy of passport or birth certificate attached? | Yes/No (delete one) |
| *Statutory Declaration as a fit and proper person and of interests* form completed and attached? | Yes/No (delete one) |
| Curriculum Vitae (CV) attached? | Yes/No (delete one) |

|  |  |
| --- | --- |
| Name of governing member |  |
| Verified copy of passport or birth certificate attached? | Yes/No (delete one) |
| *Statutory Declaration as a fit and proper person and of interests* form completed and attached? | Yes/No (delete one) |
| Curriculum Vitae (CV) attached? | Yes/No (delete one) |

## Information regarding staff, equipment and premises

See section 2.7 of the Guidelines for PTE registration for further details.

The proposed PTE needs to have adequate staff, equipment and sites/premises by the time delivery starts. To give NZQA sufficient information to ensure this, please provide NZQA with the following:

|  |  |
| --- | --- |
| **Item** | **Attached****(delete one)** |
| Organisation chart showing all staff positions in the PTE | Yes/No |
| Number of staff (*delete one* anticipated/actual) | Yes/No |
| Curriculum vitae and position descriptions of senior managers and for those involved in roles with a controlling interest in the PTE | Yes/No |
| Lists of adequate and appropriate resources and equipment for the intended micro-credentials or programmes | Yes/No |
| An acquisition plan with budget, where the resources are not already in place | Yes/No |
| Details of all permanent sites/premises which will be used for delivery, including:* + location
	+ a site or building map, or a description, that indicates the size of each classroom/workshop learning venue and numbers of students each would accommodate
	+ a description of the facilities, including staff and student facilities, such as the number and gender of toilets, student common room and kitchen, offices and staff space available, and including facilities for secure storage of student records
	+ a description of accessibility and how sites/premises are assured as being accessible for disabled learners (as required by the Code (Outcome 3))
	+ evidence that the new site will comply with the statutory requirements relating to its use. This evidence must include relevant policies and procedures, a health and safety check of the site, confirmation from the relevant authority that the zoning is appropriate for an educational organisation, and, if applicable, the Building Warrant of Fitness
	+ evidence that the PTE has or will have a right to occupy or use the premises or other teaching and administration sites before instruction commences i.e. a copy of the lease or tenure agreement OR a copy of the ownership papers
 | Yes/No |
| The location of any temporary sites/premises that will be used for delivery | Yes/No |

|  |
| --- |
| List the supporting documents provided: |

## Evidence of acceptable financial management practices and performance

See section 2.8 of the Guidelines for PTE registration for further details.

NZQA needs to be satisfied that the PTE has a sound financial basis and is likely to be financially stable.

To give NZQA sufficient information to ensure this, please provide NZQA with the following:

|  |  |
| --- | --- |
| **Item** | **Attached****(delete one)** |
| A three-year financial forecast, with clear explanations of the assumptions and basis for the statement of financial position*Please provide this as a spreadsheet in an electronic format with sufficient assumptions to back up numbers* | Yes/No |
| *If the PTE is already operational*The most recent Annual Report and a full set of financial statements, including, as appropriate, its* annual operating budget
* statement of financial position
* financial performance and cash-flows
* forecasts for both the existing organisation and the new organisation that incorporates the PTE.
 | Yes/Not applicable |
| *If the PTE is getting outside funding*A statement from a funding body | Yes/Not applicable |

|  |
| --- |
| List the supporting documents provided: |

## Information intended for prospective students

See section 2.9 of the Guidelines for PTE registration for further details.

Prospective students need to be given sufficient information about the PTE and the education it delivers to make an informed decision.

Please provide the following:

|  |  |
| --- | --- |
| **Item** | **Attached (delete one)** |
| The PTE’s written statement to prospective students, such as an offer of enrolment or an enrolment contract, that shows:* detailed costs and financial commitments for prospective students, as specified in sections 346(1)(h) and 354 of the Education and Training Act 2020
* entry and selection criteria for relevant programmes
* where applicable, material conflicts of interest of governing members and the PTE’s interests in other organisations providing goods and services to tertiary students, fee refund entitlements if students withdraw from the programme or micro-credential
 | Yes/No |
| A draft or sample of the PTE’s advertising material | Yes/No |

|  |
| --- |
| List the supporting documents provided: |

## Quality management system policies and procedures

See section 2.10 of the Guidelines for PTE registration for further details.

All applicants need to demonstrate that they have a comprehensive and appropriate quality management system that applies across the important aspects of its business.

See also self-assessment guidance on the NZQA website. <https://www.nzqa.govt.nz/providers-partners/self-assessment/> for further details.

Please provide a copy of the proposed PTE’s quality management system that includes policies and procedures on the following:

|  |  |
| --- | --- |
| **Aspect of Quality Management System** | **Covered****(delete one)** |
| Organisational self-assessment | Yes/No |
| Decision-making, financial delegations, and financial controls | Yes/No |
| Health and safety | Yes/No |
| Programme development and review | Yes/No |
| A coherent assessment and moderation system, including:* pre-assessment moderation (to ensure validity of assessment tools and activities)
* post-assessment moderation (to ensure assessment decisions are accurate and consistent).
 | Yes/No |
| Personnel recruitment and management, including:* staff development in teaching, assessment and moderation, and pastoral care
 | Yes/No |
| Information management, including:* systems for student records
* information for government agencies
 | Yes/No |
| Enrolment | Yes/No |
| Management of risk and risk mitigation strategies | Yes/No |
| Student complaints, student discipline and appeals | Yes/No |
| Student fee protection | Yes/No |
| A learner wellbeing and safety system which ensures compliance with the Code and is strategic, transparent and responsive to the diverse needs of learners. | Yes/No |

|  |
| --- |
| List the supporting documents provided: |

## Information relating to the Education (Pastoral Care of Tertiary and International Learners) Code of Practice 2021

See section 2.11 of the Guidelines for PTE registration for further details.

[The Education (Pastoral Care of Tertiary and International Learners) Code of Practice 2021](https://www.nzqa.govt.nz/assets/Providers-and-partners/Code-of-Practice/Tertiary-and-International-Learners-Code-2021/NZQA_Pastoral-Care-Code-of-Practice_English.pdf)

**International learners**

If the PTE intends to enrol international students, it must become a signatory to the Education (Pastoral Care of Tertiary and International Learners) Code of Practice 2021 (the Code).

The PTE must apply to NZQA (as the administrator of the Code) to be a signatory to the Code.

*Delete the option that does not apply*

The organisation is considering applying to be a signatory to the Code.

The organisation is not considering applying to NZQA to be a signatory to the Code

**Domestic tertiary learners**

The Code, in respect of domestic tertiary students, is binding on all providers.

The PTE's policies and procedures must cover the requirements of the Code.

Complete the following table, referring to a section of the QMS, Business Plan, Strategic Plan, Student information, Enrolment information or other supporting document in the application. For example, where in the QMS are the following covered?

* Planned engagement with learners; usage log for learner services; Emergency procedures; schedule of staff training; Information provided to learners; Incident register and records of complaints

See NZQA Code Guidance for Tertiary Providers, Outcomes 1-4, for further details.

| **Outcome** | **Process** | **Organisation’s practices that cover the Outcome:** |
| --- | --- | --- |
| Outcome 1: A learner wellbeing and safety system | Process 1: Strategic goals and strategic plans |  |
| Process 2: Self-review of learner wellbeing and safety practices |  |
| Process 3: Publication requirements |  |
| Process 4: Responsive wellbeing and safety systems |  |
| Outcome 2: Learner voice | Process 1: Learner voice |  |
| Process 2: Learner complaints |  |
| Process 3: Compliance with the Dispute Resolution Scheme |  |
| Outcome 3: Safe, inclusive, supportive and accessible physical and digital learning environments | Process 1: Safe and inclusive communities |  |
| Process 2: Supporting learner participation and engagement |  |
| Process 3: Physical and digital spaces and facilities |  |
| Outcome 4: Learners are safe and well | Process 1: Information for learners about assistance to meet their basic needs |  |
| Process 2: Promoting physical and mental health awareness |  |
| Process 3: Proactive monitoring and responsive wellbeing and safety practices |  |

If the PTE is intending to have student accommodation, the policies and procedures must also cover the organisational practices that will meet Outcomes 5-7 of the Code.

## Information about how the PTE will meet the Student Fee Protection Rules

See section 2.12 of the Guidelines for PTE registration for further details.

*Arrangements for Student Fee Protection*

The initial refund period can be covered by either a standard trust or static trust account.

After this period, PTEs can use several options. These options are detailed in Appendix B of the Student Fee Protection Rules 2022 and include:

* Mechanism 1 – Standard or Static trust account
* Mechanism 2 – Bank bonds
* Mechanism 3 – Deferred payment

[Appendix B: Student Fee Protection Mechanism Options for Providers and Agents, and detailed criteria](https://www.nzqa.govt.nz/about-us/our-role/legislation/nzqa-rules/pte-related-rules/student-fee-protection-rules/app-b/)

These arrangements must be approved by NZQA before they can be used.

|  |
| --- |
| Complete the student fee protection notification form in Appendix A of this application form. |

**Authorisation**

In accordance with our policies and procedures, I endorse this application and authorise it to be submitted to the New Zealand Qualifications Authority.

*I/we understand that information may be sought by NZQA from regulatory agencies, including, for example, the Tertiary Education Commission (TEC), Immigration New Zealand, the Labour Inspectorate, NZ Police, NZ Customs, and Inland Revenue. NZQA may request this information directly, or through another government agency or crown entity such as the Public Trust.*

*Please note that NZQA may share financial information provided in your PTE Registration application with the TEC and Public Trust, respectively, if your organisation’s business plan and financial projections suggest you intend to seek TEC funding, or as a part of your PTE Registration application you require a student fee protection mechanism*.

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | Position |  |
| Signature |  | Date |  |

If it is found that any information provided is incorrect, incomplete or misleading NZQA will stop the evaluation and investigate the inconsistencies. Recording intentionally false or misleading information in this application could be a ground for NZQA not approving a PTE Registration application.

**Submitting the application form and supporting documents**

Send applications to: qaadmin@nzqa.govt.nz.

Links to a cloud-based storage service such as google drive may be included in this application form to enable the evaluator access to documents for this application.

NZQA will acknowledge receiving the application within two working days, send an invoice for $750 for the deposit, and continue to advise the organisation on the progress of the application when the fee has been paid.

If you have any questions about this process, please email the Client Services team at qaadmin@nzqa.govt.nz or phone the NZQA helpdesk on 0800 697 296.

**Appendix A** 

**Student Fee Protection (SFP) Notification**

The *Student Fee Protection Rules* require all payments made to a PTE by, or on behalf of, a student to be protected by an NZQA-approved arrangement.

The *Student Funds Trust Deposit Exemption Rules* specify when a PTE is exempt from this requirement.

This notification must be signed by the Chief Executive or chair of the governing body.

|  |  |
| --- | --- |
| **PTE name:** |  |
| **PTE MoE number:** |  |

I declare that I have read the *Student Fee Protection Rules* and the *Student Funds Trust Deposit Exemption Rules.*

I also declare that the above-named PTE is in the following situation (tick one):

|  |  |  |
| --- | --- | --- |
|  |  | **All of its course fees are $500 or less (including GST)** and the PTE is therefore exempt from requiring an SFP mechanism. |
|  |  |  |
|  |  | **There are no student fees** (all courses are free, fully funded by government, or fully funded through business to business contractual arrangements). |
|  |  |  |
|  |  | **An NZQA-approved SFP mechanism is already in place** (please specify):Type of Arrangement: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  | Name of Trustee: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |  |
|  |  | **I am applying for approval of the following SFP mechanism**:Type of Arrangement: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  | Name of Trustee: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(Please attach all relevant documentation.) |
|  |  |  |
|  |  | **Other** (please specify):\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |

|  |
| --- |
| **Signed by Chief Executive / Chair of Governing Body** |
| Name:Position held at PTE: Signature: Date:  |