**Liquidator registration – E: Practice capacities**

Refer to [RG 186.20] and [RG 186.60] to [RG 186.66].

Use as much space as required to describe your firm’s arrangements. It is not necessary to provide copies of your practice’s training schedules, manuals and documented procedures etc.

**1. Provide details of your firm’s:**

1. **human resources:**

Refer to [RG 186.20(a)]. Provide details of the number and the level of insolvency staff in the practice and their corporate insolvency experience.

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1. **technological resources:**

Refer to [RG 186.20(a)]. Briefly describe your practice’s technological resources.

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1. **processes for monitoring and ensuring the adequacy of the human & technological resources:**

Refer to [RG 186.20(b)]. Describe how your practice monitors whether it has enough of these resources on an ongoing basis.

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1. **processes for staff supervision and training:**

Refer to [RG 186.20(c)]. Describe how staff are supervised on a day-to-day basis and how your practice ensures that staff are adequately trained.

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1. **operational procedures and manuals for conducting external administrations:**

Refer to [RG 186.20(d)]. Describe the types of procedures and manuals that your practice has in place in relation to the conduct of external administrations.

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1. **procedures for recording and handling complaints:**

Refer to [RG 186.20(d)]. Describe how complaints are handled when they are received and how they are recorded by your practice.

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1. **systems for managing risks, both for your practice and for the entities to which you may be appointed as external administrator:**

Refer to [RG 186.20(e)] and [RG 186.65] to [RG 186.66]. At a minimum, you will need to describe the processes in place for each of the following:

* + controlling internal fraud
  + monitoring and minimising your exposure to personal liability
  + monitoring and minimising the potential for conflicts of interest or breaches of other legal obligations; and
  + ensuring business continuity in the event of technological failure or other business interruption.

Describe what processes your procedures/restrictions your practice has in place to manage each of these risks and any others that apply. You will need to address this in the context of both the risks for your practice and the risks relating to the entities that are in external administration.

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1. **If registered, do you intend to accept appointments outside of the State or Territory where you are resident?**

Yes / No

**If yes, what arrangements will you have in place for accessing appropriately qualified insolvency staff as and when required for those interstate appointments, and for ensuring that the work is undertaken without unreasonably increasing the overall costs of the external administration?**

### Refer to [RG 186.63].

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### Will you rely on staff and/or other resources from another firm?

### Yes / No

**If yes, to what extent will you rely on the resources of another firm?**

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### You will need to provide a letter from the firm(s) concerned, confirming that you will have unconditional access to staff and/or other resources as and when required.

Signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Name of applicant*

Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_