



Audit report – VET Quality Framework Standards for Registered Training Organisations 2015

ORGANISATION DETAILS

Organisation's legal name:	Parade College Bundoora
Trading name/s:	Parade College
RTO number:	40750
CRICOS number:	N/A

AUDIT TEAM

Lead auditor:	Ian Penna
Auditor/s:	Alix Hudgson-Stewart
Technical advisor/s:	N/A

AUDIT DETAILS

Application number/s:	N/A	
Audit number/s:	1005651	
Audit reason 1:	Post initial	
Audit reason 2:	n/a	
Audit reason 3:	n/a	
Activity type:	Site visit	
Address of site/s visited:	1436 Plenty Road Bundoora VIC 3083	
Date/s of audit:	10-12 June 2015	
Organisation's contact for audit:	Tony McKay tmckay@parade.vic.edu.au	Director Trade and Teaching 03 9468 3300
Clauses audited:	1.1 – 1.21, 1.26, 1.27, 2, 3, 4, 5, 6, 7.3, 7.4, 8.2, 8.6	

BACKGROUND

Parade College is a private school that was established by the Christian Brothers in 1871. The college has two campuses in Victoria at Bundoora and Preston. Parade College was affiliated with the Edmund Rice schools which encompasses 40 schools in Regional Centres in Brisbane, Sydney, Melbourne and Perth. Parade College is a member of the Northern Melbourne VET Cluster which is comprised of 37 separate educational organisations.

Parade College currently has approximately 1,900 students with 362 of those students currently enrolled in VET courses. This college has been in partnership with Box Hill TAFE for the delivery of *22216VIC - Certificate II in Building and Construction* for several years, and up until February 2015, the college engaged Box Hill TAFE to deliver the 'white card' unit. Other partnerships include IVET Institute Pty Ltd to deliver *SIS30513 Certificate III in Sport and Recreation*.



The college is controlled by a board of management. The organisational structure includes an RTO Leadership Group consisting of the Principal, Director of Trade and Training, and the College Business Manager.

At the time of audit, the scope consisted of the following qualifications:

- **22216VIC** - Certificate II in Building and Construction (Bricklaying, Carpentry, Painting and Decorating, Wall and Ceiling Lining, Wall and Floor Tiling, Solid Plastering and Stonemasonry) Preapprenticeship
- **CUS30209** Certificate III in Technical Production
- **SIS30513** Certificate III in Sport and Recreation
- **SIT20312** - Certificate II in Kitchen Operations
- **CPCCOHS1001A** - Work safely in the construction industry

Work placements are facilitated using a variety of business organisations that are often family owned/managed by ex-students from Parade College.

The college has plans to extend their existing scope to include Certificate II courses in plumbing and furniture making.

The college has current partnership arrangements with other RTOs who deliver the following training products to Parade students:

- **22138VIC** Certificate II in Plumbing (Pre-Apprenticeship) offered at Preston Campus in Partnership with Box Hill Institute of Tafe
- **BSB20112** Certificate II in Business- offered at Preston Campus in Partnership with the Australian Institute of Education and Training (AIET)
- **MSF20313** Certificate II in Furniture Making- offered at the Bundoora Campus in Partnership with Box Hill Institute of Tafe
- **ICA30111** Certificate III in Information, Digital Media and Technology – offered at Bundoora Campus in Partnership with AIET
- **22247VIC** Certificate II in Small Business (Operations and Innovations) –offered at Bundoora Campus in Partnership with AIET
- **22261VIC** Certificate II in Electrotechnology Studies (Pre-Vocational) –offered at Preston and Bundoora Campus in Partnership with Kangan Institute of Tafe

The college has an established arrangement with Box Hill TAFE and AIET and Kangan for articulating their students undertaking the pre-apprenticeship courses into certificate III level courses to continue their apprenticeships.

Students enrolled by Parade College into VET courses are either from their own secondary student cohort, or from members of the Northern Melbourne VET Cluster. Course fees for students from cluster schools are paid for by the student's home school.

The college had engaged the services of an external consultant (Ms Sandra Surguy) to conduct an internal audit in 2014.

Total number of current enrolments in RTO's VET courses as at audit date: 362



AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
CPCCOHS1001A	Work safely in the construction industry	Face to face	Nil
CUS30209	Certificate III in Technical Production	Mixed	15
SIT20312	Certificate II in Kitchen Operations	Mixed	22
SIS30512	Certificate III in Sport and Recreation	Mixed	88
22216VIC	Certificate II in Building and Construction (Bricklaying, Carpentry, Painting and Decorating, Wall and Ceiling Lining, Wall and Floor Tiling, Solid Plastering and Stonemasonry) Pre-apprenticeship	Mixed	233

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES

Name	Position	Training products
Brother Moore	Principal	All
Tony McKay	Director Trade and Teaching	All
Debbie Singleton	Secretary	N/A

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 12/06/2105: Critical non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 31/07/2015: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
Standard 1	Not compliant	Compliant
Standard 2	Not compliant	Compliant



Standard 3	Compliant	n/a
Standard 4	Not compliant	Compliant
Standard 5	Compliant	n/a
Standard 6	Compliant	n/a
Standard 7	Compliant	n/a
Standard 8	Not audited	n/a

ABOUT THIS REPORT

This report details findings against the *Standards for Registered Training Organisations 2015*.

The evidence guidance included against each clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.

Where evidence of non-compliance is identified, the '*Reasons for finding of non-compliance*' section of the report will document the issues that were considered in the formulation of a finding of non-compliance.



STANDARD 1 The RTO’s training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.
To be compliant with Standard 1 the RTO must meet the following:

Clause 1.1
The RTO’s training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

Original finding: Not compliant	Following rectification: Compliant		
Evidence guidance	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy has been consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Reasons for finding of non-compliance:

Evidence audited

- Training and assessment strategies for:
 - CPCCOHS1001A Work safely in the construction industry
 - CUS30209 Certificate III in Technical Production
 - SIT20312 Certificate II in Kitchen Operations
 - SIS30512 Certificate III in Sport and Recreation
 - 22216VIC Certificate II in Building and Construction (Bricklaying, Carpentry, Painting and Decorating, Wall and Ceiling Lining, Wall and Floor Tiling, Solid Plastering and Stonemasonry) Pre-apprenticeship

The training and assessment strategies were not compliant with requirements of each training product for the reasons as follows:

- The strategies did not identify when training would be scheduled for delivery (ie days/times for face to face delivery each week);
- The strategies for assessment were not identified or referenced in training and assessment strategies;
- The strategies did not align with the packaging rules for each training product. For example, the *SIS30513 Certificate III in Sport and Recreation* course included one additional elective unit, and *CUS30209 Certificate III in Technical Production* included an additional four elective units. The RTO did not provide a rationale to explain the reasons for adding extra elective units, nor how industry representatives considered these strategies with regards to course requirements and the selection of elective units. The strategies do not provide a student with an exit point once the requirement of the qualification had been achieved;



- The strategy for *SIS30513 Certificate III in Sport and Recreation* did not include all mandated resources for the units included in the course. For example, certain resources identified in Appendix A which are required to deliver the *HLTAID003 - Provide first aid* unit were missing such as the first aid kit, placebo/spacer and incident report;
- the strategies do not indicate how the RTO will provide a sufficient amount of training to enable their learner cohort (new entrants) to effectively develop all of the skills and knowledge required by each training product – refer to clause 1.2 below for details; and
- The strategies did not identify or reference the RTO's validation plan/schedule.

In order to become compliant, the organisation is required to:

- Provide evidence that its strategies and practices for training and assessment of the above qualifications are consistent with the requirements of the Training Package by identifying all mandated resources;
- Provide evidence of the strategies for assessment which were not identified or referenced in training and assessment strategies sighted;
- Provide evidence that its strategies and practices for the delivering the *SIS30513 Certificate III in Sport and Recreation*, and *CUS30209 Certificate III in Technical Production* training products are consistent with the requirements of each Training Package including meeting the qualification packaging rules, noting an exit point is required should the organisation be offering additional elective units above the number required;
- Provide evidence that its strategies identify the amount of training that will be delivered to learners consistent with the requirements of the training product including details of when training would be scheduled;
- Provide evidence of how they have determined that their strategies will provide a sufficient amount of training to enable their learner cohort (new entrants) to effectively develop all of the skills and knowledge required by each training product; and
- Provide evidence that its strategies include a plan/schedule for validation of training and assessment materials.

Analysis of rectification evidence:

- Clause 1.1 – Rectification Evidence (response provided by the RTO)
- 22216VIC Certificate II Building and Construction (Bricklaying) Infrastructure and resource matrix
- Appendix A 22216VIC Certificate II in Building and Construction (Carpentry) Infrastructure and Resource Requirements
- CPCCOHS1001A Work safely in the construction industry Infrastructure and resource matrix
- SIS30513 Certificate III in Sport and Recreation Appendix A – Course Resource Requirements
- CUS30209 Certificate III in Technical Production Appendix A – Course Resource Requirements
- SIT20312 Certificate II in Kitchen Operations – Programs Plan 2015
- 22216VIC Certificate II in Building and Construction (Carpentry) Pre-apprenticeship Training and assessment strategy Version 2.0
- 22216VIC Certificate II in Building and Construction (Bricklaying) Pre-apprenticeship Training and assessment strategy Version 2.0
- SIS30513 Certificate III in Sport and Recreation Training and assessment strategy Version 2.0
- CUS30209 Certificate III in Technical Production Training and assessment strategy Version 2.0
- SIT20312 Certificate II in Kitchen Operations Training and assessment strategy Version 2.0
- CPCCOHS1001A Work safely in the construction industry Training and assessment strategy Version 2.0
- 22216VIC Certificate II in Building and Construction (Bricklaying) Program Schedule
- 22216VIC Certificate II in Building and Construction (Carpentry) Pre-apprenticeship Program Schedule
- Certificate III in Sport and Recreation Program Schedule



- CUS30209 Certificate III in Technical Production Program Schedule
- SIT20312 Certificate II in Kitchen Operations – Program Plan 2015
- RTO Division – Policy and Procedure Manual – Assessment validation procedure May 2015 Version 2.0
- Assessment Validation Record May 2015 – Version 2.0
- Assessment Validation Schedule – SIT20312 Certificate II in Kitchen Operations January 2015 – Version 1.0
- Assessment Validation Schedule – SIS30512 Certificate III in Sport and Recreation January 2014 – Version 1.0
- Assessment Validation Schedule – CUS30209 Certificate III in Technical Production January 2014 – Version 1.0
- Assessment Validation Schedule – 22216VIC Certificate II in Building and Construction (Carpentry) Pre-apprenticeship January 2014 – Version 1.0
- Assessment Validation Schedule – 22216VIC Certificate II in Building and Construction (Bricklaying) Pre-apprenticeship January 2014 – Version 1.0

The RTO has now demonstrated compliance with Clause 1.1

Clause 1.2
 For the purposes of [Clause 1.1](#), the RTO determines the amount of training they provide to each learner with regard to:

- a) the existing skills, knowledge and the experience of the learner;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N
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For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:

<ul style="list-style-type: none"> • the existing skills, knowledge and experience of learners 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<ul style="list-style-type: none"> • the mode/s of delivery 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • the number of units and/or modules being delivered 	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items

Reference: [AQF](#), [AQF volume of learning](#)

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Reasons for finding of non-compliance:

Evidence audited:

- Training and assessment strategies (refer to Clause 1.1 above)
- The strategies audited do not identify how the RTO will be able to provide a sufficient amount of training to enable their learner cohort (new entrants) to develop the required knowledge and skills. For example, the strategy for classroom delivery is as follows:
 - CUS30209 Certificate III in Technical Production (280 hours)
 - SIT20312 Certificate II in Kitchen Operations (283 hours)
 - SIS30512 Certificate III in Sport and Recreation (300 hours)



- 22216VIC Certificate II in Building and Construction (540 hours)

In order to become compliant, the organisation is required to:

- Provide a plan or similar for how the organisation will ensure, by implementing the strategies noted under clause 1.1, that the amount of training provided and the durations of training and assessment activities for all qualifications will enable their learner cohort (new entrants) to effectively develop all of the skills and knowledge required by each training product.

Analysis of rectification evidence:

- Clause 1.2 – Rectification Evidence (response provided by the RTO)
- Refer to Training and Assessment Strategies and Program Plans/Schedule as noted in Clause 1.1

The RTO has now demonstrated compliance with Clause 1.2.

Clause 1.3
The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) **trainers and assessors to deliver the training and assessment;**
- b) **educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;**
- c) **learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and**
- d) **facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.**

Original finding: Compliant	Following rectification: n/a		
Evidence guidance	Y	N	
For all training products sampled, there are sufficient:			
• trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• educational and support services to meet the needs of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• facilities and equipment to accommodate the number of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Clause 1.4
The RTO meets all requirements specified in the relevant training package or VET accredited course.

Original finding: Not compliant	Following rectification: Compliant		
Evidence guidance	Y	N	N/A
Training and assessment strategies and resources are consistent with the requirements of each training product sampled	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Training and assessment practices are consistent with the requirements of each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Reasons for finding of non-compliance:

Evidence audited:

- Training and assessment strategies (refer to Clause 1.1 above)
- Training and assessment strategies are not consistent with the requirements of each training product. Refer to clause 1.1 for details

In order to become compliant, the organisation is required to:

- Provide evidence of training and assessment strategies that are consistent with the requirements of each training product.

Analysis of rectification evidence:

- Clause 1.4 – Rectification Evidence (response provided by the RTO)
- Refer to Training and Assessment Strategies as noted in Clause 1.1

The RTO has now demonstrated compliance with Clause 1.4.

Clause 1.5
The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N
Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Reasons for finding of non-compliance:

Evidence audited:

- Training and assessment strategies (refer to Clause 1.1 above)
- Feedback from industry representatives.
- The evidence provided does not demonstrate that the organisation's training and assessment strategies and practices are relevant to the needs of industry for the above qualifications and have been informed by engagement with industry. The training and assessment strategies include details of consultation with various industry representatives. Evidence of engagement with industry representatives identified in their training and assessment strategies was not provided at audit. The RTO advised that this evidence had been archived.

In order to become compliant, the organisation is required to:

- Provide evidence of consultation with the industry representatives that are identified in its strategies for training and assessment to demonstrate how their training and assessment practices for the above qualifications are relevant to the needs of industry.

Analysis of rectification evidence:

- Clause 1.5 – Rectification Evidence (response provided by the RTO)
- Industry Consultation Forms for:
 - CUS30209 Certificate III in Technical Production
 - VU20957 Calculations for the construction industry
 - VU20969 Masonry blockwork



- VU20962 Quality principles for the construction industry
- VU20963 Safe handling and use of plant and selected portable power tools
- 22216VIC Certificate II in Building and Construction (Carpentry)
- CPCCOHS1001A Work safely in the construction industry
- SIS30513 Certificate III in Sport and Recreation
- SIT20312 Certificate II in Kitchen Operations

The RTO has now demonstrated compliance with Clause 1.5.

Clause 1.6
The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:
a) its training and assessment strategies, practices and resources; and
b) the current industry skills of its trainers and assessors.

	Following rectification: Compliant		
Original finding: Not compliant	Y	N	N/A
Evidence guidance			
A range of industry engagement strategies have been developed	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Industry engagement strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Outcomes from industry engagement strategies have been systematically used to inform:			
• training and assessment strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• training and assessment practices	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• resources, including facilities and equipment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• current industry skills required to be held by trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Reasons for finding of non-compliance:

Evidence audited:

- Policy and Procedure manual (Industry Consultation)
- Feedback from industry representatives.
- The organisation provided a documented procedure detailing its industry engagement strategy. The evidence provided did not demonstrate the organisation implements a range of strategies for industry engagement, nor how it systematic uses the outcome of that industry engagement to develop and/or modify its training and assessment strategies, practices and resources as required to ensure industry relevance.

In order to become compliant, the organisation is required to:

- Provide evidence that it implements strategies for industry engagement to ensure the industry relevance of its training and assessment strategies, practices and resources and the current industry skills of its trainers and assessors. The evidence should identify when consultation will occur and by whom.

Analysis of rectification evidence:

- Clause 1.6 – Rectification Evidence (response provided by the RTO)
- RTO Division – Policy and Procedure Manual Course Development and Review Policy and Procedure May 2015 – Version 2.0



- Industry Consultation Form Instructions
- Industry Consultation Form template

The RTO has now demonstrated compliance with Clause 1.6.

Clause 1.7
The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Support needs of learners have been identified	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.8
The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):
 a) complies with the assessment requirements of the relevant training package or VET accredited course; and
 b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
SIT20312 - Certificate II in Kitchen Operations			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SITHCCC201 Produce dishes using basic methods of cookery			

Assessment tools consist of:

- Assessor Guides (trainers and students)
- Demonstration (8 sessions)
- Learners Guide (Didasko)
- Mapping tool

BSBWOR203B - Work effectively with others

Assessment tools consist of:

- Assessment Guide (incl. assessment mapping)
- Marking Guide
- Task 1 - Written questions (16)
- Task 2 - Demonstration (3 times)
- Customised Didasko Materials



Principles of Assessment – fairness, flexibility, validity, reliability:

SITHCCC20 1		BSBWOR20 3B		Evidence guidance:
Y	N	Y	N	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

SITHCCC20 1		BSBWOR20 3B		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
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SIS30513 Certificate III in Sport and Recreation

Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
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Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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SISXCAI303A Plan and conduct sport and recreation sessions

Assessment tools consist of:



- Assessment guide (incl. marking guide)
- Task 1 - written
- Task 2 - demonstrations (3)
- IVET materials
- Mapping

SITXCOM401 - Manage conflict

Assessment tools consist of:

- Assessment Guide (incl. marking guide)
- Assessment Mapping Document
- Task 1 - written questions (13)
- Task 2 - Project (incl. 3 field placements)
- IVET materials

Principles of Assessment – fairness, flexibility, validity, reliability:

SISXCAI303 A		SITXCOM40 1		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

SISXCAI303 A		SITXCOM40 1		Evidence guidance:
Y	N	Y	N	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past
Evidence guidance				Y N N/A

22216VIC - Certificate II in Building and Construction (Bricklaying, Carpentry, Painting and Decorating, Wall and Ceiling Lining, Wall and Floor Tiling, Solid Plastering and Stonemasonry) Preapprenticeship

Assessment meets the assessment requirements of the training package or course.

Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)

CPCCOHS1001A Work safely in the construction industry

Assessment tools consist of:

- Mapping tool
- Assessor Guide
- Marking Guide
- In-class activities (formative)
- Multiple choice questions - 57 (summative)
- Easy Guide materials

VU20964 - Workplace documents and plans

Assessment tools consist of:

- Assessment matrix
- Assessor Guide
- Assessment task 1 - 12 questions
- Assessment task 2 - measuring
- Assessment task 3 - 30 questions
- Assessment task 4 - 12 questions

Principles of Assessment – fairness, flexibility, validity, reliability:

CPCCOHS1001A		VU20964		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments



<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

CPCCOHS1 001A		VU20964		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
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CUS30209 Certificate III in Technical Production

Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

CUSSOU302A Record and mix a basic music demo

Assessment tools consist of:

- Assessor guidelines
- Assessment matrix
- Practical demonstration (2 times)
- Portfolios (2)
- COAMPS materials

BSBWOR203A - Work effectively with others

Assessment tools consist of:

- Assessment Matrix
- Assessor Guide
- Marking Guide
- Task 1 - written questions (16)
- Task 2 - Demonstration
- Task 3 - Reflection
- Learners Guide (Didasko)

Principles of Assessment – fairness, flexibility, validity, reliability:

BSBWOR20 3A	CUSSOU30 2A
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Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

BSBWOR20 3A		CUSSOU30 2A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:

VU20964 - Workplace documents and plans

- It was not clear from the information provided in the assessment documents as to the criteria which defines acceptable performance for each requirement in the training product. For example, four assessment tasks described acceptable performance would be achieved by correctly answering 75% of the questions;
- There was insufficient detail provided to be able to identify how each competency requirement would be assessed by each assessment activity. It was not possible to identify which specific assessment task (ie. individual questions) would address each of the performance criteria, and the required knowledge and skills.
- No students have as yet been assessed using the RTO's assessment documents/tools.

SITHCCC201 Produce dishes using basic methods of cookery



- The Trainer Assessment Guide did not include all of the elements and performance criteria that is required in the training product (ie criteria 4. Cook Dishes).

SISXCAI303A Plan and conduct sport and recreation sessions

- Completed student assessments were reviewed for Andrew McCann and Austin Shoebridge. Assessment records indicated that both students gave the same answer to question 2 in assessment task 1 and were assessed with different outcomes. No evidence was found on their completed student assessments to demonstrate that they had completed and been assessed for assessment task 2 (part 3) – ‘self-reflection’.

SITXCOM401 - Manage conflict

- It was not clear from the information provided in the assessment documents as to the criteria which defines acceptable performance for each requirement in the training product. Assessment documents refer to a marking scale without providing sufficient information to trainers/learners as to when the learner is deemed to be competent.

CPCCOHS1001A Work safely in the construction industry

- The Marking Guide sighted did not include suggested answers to guide assessors.

CUSSOU302A Record and mix a basic music demo

- The information provided in the assessment documents did not define the criteria for acceptable performance. Assessment requirements were not clear and specifically identified with the requirements of the training product. The RTO advised that assessors talk & discuss performance criteria in order to determine what is required (ie size, scale, complexity of evidence).
- Completed student assessments were reviewed for Nathan Rao and David Marasco. Rao’s student file did not contain evidence to demonstrate how he had had been assessed for the first performance criteria – ‘Clarify music demo requirements’ (eg producing a record of meetings confirming the purpose of the demo). Rao’s student file did not contain evidence to demonstrate how he was assessed to meet the fourth performance criteria - ‘Finalise music demo’ (eg Produce a master in the agreed format and make a backup). Neither Rao or Marasco’s student files contained evidence to demonstrate how they were assessed to meet the second performance criteria - ‘Record performers’ (eg setting up for a recording).
- The RTO advised that these issues were identified at internal audit in 2014 and assessment documents/strategy have been amended to address these issues. As current students have not yet been assessed using the amended documents/tools, the RTO is unable to demonstrate that the issues found at audit have been resolved.

In order to become compliant, the organisation is required to:

- The organisation is required to provide a full set of assessment tools that covers all criteria identified in the training package and which identify the criteria to be used by the assessor in determining competence for the following training products:
 - *VU20964 - Workplace documents and plans*
 - *SITHCCC201 Produce dishes using basic methods of cookery*
 - *SITXCOM401 - Manage conflict*
 - *CPCCOHS1001A Work safely in the construction industry*
 - *CUSSOU302A Record and mix a basic music demo*

The assessment tools must include clear instructions for both the student and assessor.

- Explain why the outcome for students who had provided the same answer to an assessment task for *SISXCAI303A Plan and conduct sport and recreation sessions* was not consistent;
- Provide evidence of how the provider intends to improve its processes to prevent this situation from re-occurring;



- Explain what action the provider intends to take to identify how many students may have been erroneously judged as competent/not yet competent; and
 - Explain what action the provider intends to take to rectify incorrect assessment judgements.
-

Analysis of rectification evidence:

- Clause 1.8 – Rectification Evidence (response provided by the RTO)
- *VU20964 Workplace documents and plans*
 - Assessment materials consisting of:
 - Student guide
 - Marking guide
 - Assessor guidelines
 - Competency Assessment Matrix
- *SITHCCC201 Produce dishes using basic methods of cookery*
 - Assessment materials consisting of:
 - Student Assessment Guide
 - Practical Kitchen: Methods of Cookery Diary
 - Trainer Assessment Guide
- *SITXCOM401 Manage conflict*
 - Assessment materials consisting of:
 - Student Assessment Guide
 - Assessment Activity Booklet
 - Assessor Guide
- *CPCCOHS1001A Work safely in the construction industry*
 - Assessment materials consisting of:
 - Assessment Information Sheet
 - Multiple Choice Questions
 - Record of Assessment
 - Assessor Guidelines
 - Multiple Choice Questions Marking Guide
 - Mapping Tool
- *CUSSOU302A Record and mix a basic music demo*
 - Assessment materials consisting of:
 - Knowledge Test Question Book
 - Knowledge Test Answer Guide
 - Practical Demonstration and Portfolio Assessment Instructions and Criteria
 - Record of Assessment
 - Assessor Guidelines
 - Assessment Information Sheet
 - Competency Assessment Matrix
- *SISXCAI303A Plan and conduct sport and recreation sessions*
 - Letters to the following students regarding their results for the Written Assessment Task
 - Email from Tony McKay to all VET trainers and assessors regarding the mandatory use of approved marking guides and assessment criteria checklists.
 - List of student files audited
 - Meeting Minutes from RTO Trainer's Meeting 27 July 2015

It is noted that the assessment mapping document provided for *SITXCOM401 Manage conflict* provides assessment mapping; it does not specifically detail how a whole assessment task meets individual performance criteria, knowledge and skills requirements.

The RTO has now demonstrated compliance with Clause 1.8.



Clause 1.9

The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:

- a) when assessment validation will occur;
- b) which training products will be the focus of the validation;
- c) who will lead and participate in validation activities; and
- d) how the outcomes of these activities will be documented and acted upon.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
A plan for ongoing systematic validation of assessment has been developed that identifies:			
<ul style="list-style-type: none"> • when assessment validation will occur for each training product on the RTO's scope of registration 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • who will lead and participate in validation activities 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • how the validation outcomes will be documented and acted upon 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The plan for validation has been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.10

For the purposes of [Clause 1.9](#), each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
The plan for validation of assessment ensures:			
<ul style="list-style-type: none"> • all training products will be validated at least once every five years 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • at least 50% of training products will be validated in the first three years of the above cycle 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • relative risk of all training products are taken into account in scheduling validation 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • training products identified as high risk by ASQA are taken into account in scheduling validation 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The above have been achieved in implementing the plan for validation of assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.11

For the purposes of [Clause 1.9](#), systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- a) vocational competencies and current industry skills relevant to the assessment being validated;
- b) current knowledge and skills in vocational teaching and learning; and



c) the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.

Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product. If no, clause is not audited. If yes:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Validation of assessment has been undertaken by one or more persons who, collectively, hold:		
<ul style="list-style-type: none"> • relevant vocational competencies and current industry skills 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • current knowledge and skills in VET teaching and learning 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor) 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Final validation decisions are made by a person who was not directly involved with the delivery and assessment of the training product being validated	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.12

The RTO offers recognition of prior learning to individual learners.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
RPL has been offered to individual learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 1.13

In addition to the requirements specified in [Clause 1.14](#) and [Clause 1.15](#), the RTO's training and assessment is delivered only by persons who have:

- a) vocational competencies at least to the level being delivered and assessed;**
- b) current industry skills directly relevant to the training and assessment being provided;**
- and**
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.**

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance							
Each trainer / assessor must meet all requirements for each training product being delivered:							
Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Wayne Norton	22216VIC - Certificate II in	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>



**Building and Construction
(Carpentry)**

Derek Rylah **22216VIC - Certificate II in Building and Construction (Carpentry)**

Simon Hogan **CPCCOHS1001A - Work safely in the construction industry**
22216VIC - Certificate II in Building and Construction (Bricklaying)

Kevin Marr **22216VIC - Certificate II in Building and Construction (Carpentry)**

Robyn Elliott **SIT20312 - Certificate II in Kitchen Operations**

Kate Sleeman **SIS30513 Certificate III in Sport and Recreation**

Stuart Brownley **CUS30209 Certificate III in Technical Production**

Luke Serrano **CUS30209 Certificate III in Technical Production**



Michael Kilpatrick ICAWEB201A - Use social media tools for collaboration and engagement

Gary Warren 22216VIC - Certificate II in Building and Construction (Bricklaying)
 SIS30513 Certificate III in Sport and Recreation

Paul Tomazic 22216VIC - Certificate II in Building and Construction (Carpentry)

Clause 1.14
 The RTO's training and assessment is delivered only by persons who have:
 a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
 b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

Original finding: Compliant

Following rectification: n/a

Evidence guidance **Y** **N**

VET qualifications of trainers and assessors have been verified

Each trainer / assessor **must meet at least one** of the following requirements:

Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2		Demonstrated equivalence	
	Y	N	Y	N	Y	N
Wayne Norton	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derek Rylah	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Simon Hogan	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Kevin Marr	<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Robyn Elliott	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Kate Sleeman	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Stuart Brownley	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Luke Serrano	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Michael Kilpatrick	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Gary Warren	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Paul Tomazic	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor
Schedule 1, Item 2: A Diploma or higher level qualification in adult education

Clause 1.15
Where a person conducts assessment only, the RTO ensures that the person has:



**a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.**

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
The RTO uses assessors that conduct assessment only. If no, clause is not audited. If yes:	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Assessor name

Training product code/s delivered

Each assessor (who conducts assessment only) must meet at least one of the following requirements:

- TAE40110 Certificate IV in Training and Assessment or its successor
- equivalent competencies to TAE40110 (TAA40104 is equivalent)
- diploma or higher qualification in adult education
- equivalent competencies to diploma or higher qualification in adult education
- TAESS00001 Assessor skill set or its successor
- equivalent competencies to TAESS00001 Assessor skill set

Each assessor (who conducts assessment only) must meet all of the following requirements:

- vocational competencies at least to the level being delivered (actual qualification/unit not required)
- current relevant industry skills
- current vocational training and learning knowledge and skills

Clause 1.16

The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Clause 1.17

Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
People delivering training under supervision are utilised	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21 . If yes:		
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14	<input type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.18

The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

- a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
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Individual working under supervision name

Each individual who works under the supervision of a trainer must meet at least one of the following requirements:

- TAESS00003 Enterprise trainer and assessor skill set or its successor
- equivalent competencies to TAESS00003
- TAESS00007 Enterprise trainer – presenting skill set or its successor
- equivalent competencies to TAESS00007
- TAESS00008 Enterprise trainer – mentoring skill set or its successor
- equivalent competencies to TAESS00008

Each individual who works under the supervision of a trainer must meet all of the following requirements:

- vocational competencies at least to the level being delivered (actual qualification/unit not required)
- current relevant industry skills



Clause 1.19
Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
Training and assessment complies with Standard 1	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.20
Without limiting Clauses 1.17 - 1.19, the RTO:
 a) determines and puts in place:
 i) the level of the supervision required; and
 ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
 b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
Supervision arrangements have been identified	<input type="checkbox"/>	<input type="checkbox"/>
People delivering training under supervision have been monitored by the supervising trainer	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.21
Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:
 a) hold the training and assessment qualification at least to the level being delivered; or
 b) have demonstrated equivalence of competencies.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
A TAE qualification or skill set is included in the audit scope	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clause is not audited. If yes:		

Trainer / Assessor name

Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements:

• TAE40110 Certificate IV in Training and Assessment or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>



• TAE50111 Diploma of Vocational Education and Training or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAE50111	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50211 Diploma of Training Design and Development or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to TAE50211	<input type="checkbox"/>	<input type="checkbox"/>
• diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Trainer / Assessor name

Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:

• hold a TAE training product at least to the level being delivered	<input type="checkbox"/>	<input type="checkbox"/>
• equivalent competencies to the above	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.22

From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

Not audited as clause does not commence until 1 January 2016

Clause 1.23

From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the qualification specified in Item 5 of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

Clause 1.24



The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

Clause 1.25

From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Not audited as clause does not commence until 1 January 2016

Clause 1.26

Subject to [Clause 1.27](#) and unless otherwise approved by the VET Regulator, the RTO ensures that:

- a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;
- b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;
- c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and
- d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
One or more training products on the RTO's scope of registration has been superseded, removed or deleted since 1 April 2015	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
If no, clause is not audited. If yes:			
Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners have been completed and issued certification within two years of qualifications being removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners are not commenced in training products that have been removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Clause 1.27

The requirements specified in [Clause 1.26](#) (a) do not apply where a training package requires the delivery of a superseded unit of competency.



Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency If no, clause is not audited. If yes:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The superseded unit of competency has continued to be delivered as required by training product packaging rules	<input checked="" type="checkbox"/>	<input type="checkbox"/>

STANDARD 2 The operations of the RTO are quality assured.
To be compliant with Standard 2 the RTO must meet the following:

Clause 2.1
The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N
The RTO is compliant with the clauses sampled across all operations within its scope of registration	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- The organisation has not complied with these standards and was found non-compliant with clauses 1.1, 1.2, 1.4, 1.5, 1.6, 1.8 and 4.1.

In order to become compliant, the organisation is required to:

- Provide evidence of rectification material which meets the requirements of each of the above clauses.

Analysis of rectification evidence:

- Refer to rectification evidence provided for Clauses 1.1, 1.2, 1.4, 1.5, 1.6, 1.8 and 4.1.

The RTO has now demonstrated compliance with Clause 2.1.

Clause 2.2
The RTO:
 a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
 b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Training and assessment strategies and practices are systematically monitored, including evaluation of:		
• AVETMISS data	<input checked="" type="checkbox"/>	<input type="checkbox"/>



• quality indicator data	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• validation outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• client feedback	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• trainer and assessor feedback	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• complaints and appeals	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Outcomes of monitoring have informed improvement activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 2.3

The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
Third party arrangements are in place for delivery of services	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clauses 2.3 – 2.4 are not audited. If yes:		
A written agreement is in place for each arrangement (also refer Clause 8.2)	<input type="checkbox"/>	<input type="checkbox"/>

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Clause 2.4

The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
The above strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

STANDARD 3

The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.

To be compliant with Standard 3 the RTO must meet the following:

Clause 3.1

The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation	<input type="checkbox"/>	<input type="checkbox"/>



Clause 3.2
All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
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AQF certification documentation:

- | | | |
|---|-------------------------------------|--------------------------|
| • complies with the AQF Qualifications Issuance Policy | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • complies with the requirements of Schedule 5 to these Standards | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • a register of all qualifications issued is maintained | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Reference: [AQF Qualifications Issuance Policy](#), [AQF Qualifications Register Policy](#)

Clause 3.3
AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
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AQF certification documentation is issued within 30 days of all requirements being met	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Clause 3.4
Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
-------------------	---	---

- | | | |
|---|-------------------------------------|--------------------------|
| Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| The above records are accessible to current and past learners | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Clause 3.5
The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:
 a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
 b) authenticated VET transcripts issued by the Registrar.

Original finding: Compliant **Following rectification:** n/a

Evidence guidance	Y	N
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Credit is provided to learners for units or modules where evidenced by AQF certification documentation or an authenticated VET transcript (unless licensing or regulatory requirements prevent this)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Clause 3.6

The RTO meets the requirements of the Student Identifier scheme, including:

- a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
- b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;
- c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
- d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Student Identifiers are verified before being used	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
AQF certification document is only issued to an individual with a verified Student Identifier, unless an exemption applies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Security of Student Identifiers and related records is ensured	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

NOTE – ALL RTOs must comply with Clause 3.6 from 1 January 2015

STANDARD 4

Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

To be compliant with Standard 4 the RTO must meet the following:

Clause 4.1

Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;
- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;



- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- l) does not guarantee that:
 - i) a learner will successfully complete a training product on its scope of registration; or
 - ii) a training product can be completed in a manner which does not meet the requirements of [Clause 1.1](#) and [1.2](#); or
 - iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• accurately represents the services provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• only refers to a person or organisation with their consent	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where a third party is recruiting prospective learners on behalf of the RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided on behalf of another RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• identifies where training and assessment is being provided by a third party	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• distinguishes between national recognised training and other training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes the code and title of each training product as per www.training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes accurate information about licensed or regulated outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes details about financial support provided, including VET FEE-HELP	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes details about relevant government funding subsidies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



- ii) expected locations at which it will be provided;
 - iii) expected modes of delivery;
 - iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and
 - v) any work placement arrangements.
- c) the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
- d) the learner's rights, including:
- i) details of the RTO's complaints and appeals process required by [Standard 6](#); and
 - ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;
- e) the learner's obligations:
- i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
 - ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
 - iii) any materials and equipment that the learner must provide; and
- f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• code and title of the training product as per www.training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• currency of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• estimated duration of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• location/s where training and/or assessment will be provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• name and contact details of any third party providing services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• work placement arrangements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• confirmation that the RTO is responsible for compliance of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• confirmation that the RTO is responsible for issuance of AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner's obligation to repay any VET FEE-HELP debt	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• any entry requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• any materials and equipment the learner must provide	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



Clause 5.3

Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- a) all relevant fee information including:
 - i) fees that must be paid to the RTO; and
 - ii) payment terms and conditions including deposits and refunds;
- b) the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
- c) the learner’s right to obtain a refund for services not provided by the RTO in the event the:
 - i) arrangement is terminated early; or
 - ii) the RTO fails to provide the agreed services.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Fees are collected from individual learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes:			
Written information is provided on the following, prior to enrolment or commencement:			
• all fees that must be paid	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• payment terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• refund terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the learner’s statutory right to a cooling-off period	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Clause 5.4

Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Learners are advised of any changes to agreed services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

STANDARD 6

Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

Subject to [Clause 6.6](#), to be compliant with Standard 6 an RTO must meet the following:

Clause 6.1

The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a) the RTO, its trainers, assessors or other staff;
- b) a third party providing services on the RTO’s behalf, its trainers, assessors or other staff;
- or
- c) a learner of the RTO.

Original finding: Compliant

Following rectification: n/a



Evidence guidance	Y	N	N/A
The RTO is an employer or volunteer organisation and: <ul style="list-style-type: none"> learners consist only of employees or members, and learners do not pay any fees, and an organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
If yes to the above, Clauses 6.1 – 6.4 are not audited, go to Clause 6.5 . If no:			
A complaints policy (may be combined with appeals) has been developed to respond to complaints about:			
<ul style="list-style-type: none"> the RTO 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> RTO staff 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> learners 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> third parties 	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Clause 6.2

The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
An appeals policy has been developed covering decisions made for or on behalf of the RTO (may be combined with complaints):	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 6.3

The RTO's complaints policy and appeals policy:

- ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- are publicly available;
- set out the procedure for making a complaint or requesting an appeal;
- ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
- provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
The complaints and appeals policy/ies:		
<ul style="list-style-type: none"> adopt the principles of natural justice and procedural fairness by: <ul style="list-style-type: none"> informing those involved of the allegations providing those involved an opportunity to present their side of the matter operating in a fair and unbiased way are publicly available include a procedure for submitting a complaint or appeal 	<input checked="" type="checkbox"/>	<input type="checkbox"/>



• ensure complaints and appeals are acknowledged in writing	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• ensure complaints and appeals are finalised as soon as practicable	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• provide for review of complaints and appeals by an independent party	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 6.4
 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
 a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
 b) regularly updates the complainant or appellant on the progress of the matter.

Original finding: Compliant	Following rectification: n/a		
Evidence guidance	Y	N	N/A
Where more than 60 calendar days have been required to process a complaint or appeal:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• the complainant or appellant is advised in writing of the reasons	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• the complainant or appellant is regularly updated in writing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Clause 6.5
 The RTO:
 a) securely maintains records of all complaints and appeals and their outcomes; and
 b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

Original finding: Compliant	Following rectification: n/a		
Evidence guidance	Y	N	N/A
Secure records are maintained of all complaints and appeals and their outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Potential cause of complaints and appeals are identified and corrective action taken	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Clause 6.6
 Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

STANDARD 7 **The RTO has effective governance and administration arrangements in place. To be compliant with Standard 7 the RTO must meet the following:**

Clause 7.1



The RTO ensures that its executive officers or high managerial agent:
 a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
 b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Not audited

Clause 7.2
 The RTO satisfies the *Financial Viability Risk Assessment Requirements*.

Not audited

Clause 7.3
 Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of \$1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prepaid fees in excess of \$1,500 are collected from individual learners	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
If no, clause is not audited. If yes:			
Government entities and universities			<input type="checkbox"/>
The RTO implements a policy addressing learner fee protection arrangements. This policy details how, if the RTO is unable to provide services for which the learner has prepaid, the learner will either :	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • be placed into an equivalent course such that: <ul style="list-style-type: none"> ○ the new location is suitable to the learner ○ the learner receives the full services for which they have prepaid at no additional cost to the learner; or • be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount 	<input type="checkbox"/>	<input type="checkbox"/>	

NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

Other RTOs

All learners are protected by one or more of the following:

- the RTO holds an unconditional financial guarantee from a bank operating in Australia where:
 - the guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount for each learner for services to be provided by the RTO to those learners; and
 - all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO
- the RTO holds current membership of a Tuition Assurance Scheme approved by ASQA
- any other fee protection measure approved by ASQA



Clause 7.4
The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Public liability insurance is in place that:		
• provides coverage for the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• covers training and assessment activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 7.5
The RTO provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Not audited

STANDARD 8 **The RTO cooperates with the VET Regulator and is legally compliant at all times.**
To be compliant with Standard 8 the RTO must meet the following:

Clause 8.1
The RTO cooperates with the VET Regulator:
 a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
 b) in the conduct of audits and the monitoring of its operations;
 c) by providing quality/performance indicator data;
 d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;
 e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
 f) in the retention, archiving, retrieval and transfer of records.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
The RTO co-operates with ASQA:		
• by providing accurate and truthful responses to information requests relevant to the RTO's registration	<input type="checkbox"/>	<input type="checkbox"/>
• in the conduct of audits and the monitoring of its operations	<input type="checkbox"/>	<input type="checkbox"/>
• by providing quality/performance indicator data	<input type="checkbox"/>	<input type="checkbox"/>
• by providing information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO's ability to comply with these standards within 90 days of the change occurring	<input type="checkbox"/>	<input type="checkbox"/>
• in the retention, archiving, retrieval and transfer of records	<input type="checkbox"/>	<input type="checkbox"/>

Reference: [ASQA General Direction – Retention requirements for completed student assessment items](#)



Clause 8.2

The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Third party arrangements are in place for delivery of services (also refer [Clause 2.3](#))

If no, clause is not audited. If yes:

Written agreements include a clause requiring that third parties co-operate with ASQA in:

- providing accurate and factual responses to information requests from ASQA relevant to the delivery of services
- in the conduct of audits and the monitoring of its operations

Clause 8.3

The RTO notifies the Regulator:

- a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

Not audited

Clause 8.4

The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:

- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
- b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Not audited

Clause 8.5

The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Not audited

Clause 8.6

The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered

