

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

ORGANISATION DETAILS

Organisation's legal name:	IIPM Pty Ltd
Trading name/s:	International Institute of Planning & Management
RTO number:	N/A
CRICOS number:	N/A

AUDIT TEAM

Lead auditor:	Judith Keller
Auditor/s:	N/A
Technical advisor/s:	N/A

AUDIT DETAILS

Application number/s:	1075695	
Audit number/s:	1008121	
Audit reason 1:	Application - initial	
Audit reason 2:	n/a	
Audit reason 3:	n/a	
Activity type:	Site visit	
Address of site/s visited:	10/53 Tribune Street, South Brisbane QLD 4101	
Date/s of audit:	15 July 2015	
Organisation's contact for audit:	Mr Kirandeep Singh info@iipm.com.au	CEO 0468496869
Clauses audited:	1.1 - 1.10, 1.12 - 1.14, 1.16, 2.1, 2.2, 3.1 - 3.4, 3.6, 4.1, 5, 6.1 - 6.5 (The following Clauses were not audited as not applicable to the organisation at the date of audit - 1.11, 1.15, 1.17 - 1.20, 2.3, 2.4, 6.6 and 7.3)	

BACKGROUND

IIPM Pty Ltd is a proprietary company established in April 2014, and currently trades under the business name, International Institute of Planning and Management.

Mr Kirandeep Singh, the company's sole director, secretary and chief executive officer, is also the chief executive officer and owner of another registered training organisation, Mobile Training and Assessment Services, based at Salisbury, Queensland. The applicant's business manager, Mr Navnish Bansal, is also associated with several other registered training organisations



For the past twelve months IIPM Pty Ltd has been delivering non-accredited training on topics with a business / management / leadership / administrative focus to employees of corporate organisations in the Melbourne area. The company is now seeking to expand its business to include the delivery of accredited training, commencing with the qualification BSB50215 Diploma of Business. As IIPM also wishes to expand its interstate presence, it is seeking initial registration as a registered training organisation in Queensland.

Training will be delivered face to face, on a fee for service basis, from the RTO's premises at South Brisbane, Queensland. The target group identified by the applicant for training and assessment is individuals who possess significant theoretical business skills and knowledge and who would like to further develop their skills and knowledge in order to create further educational or employment opportunities. The applicant RTO intends to limit its total number of learners to 12 for the first year of its operation.

At this stage IIPM Pty is not planning to:

- access government funding / training contracts
- enrol learners who are under 18 years of age
- engage other parties to conduct training, assessment or qualification issuance services on its behalf
- engage other parties to conduct marketing, learner recruitment, student enrolment or other administrative services on its behalf
- deliver training and/or assessment services to overseas students studying in Australia

Total number of current enrolments in RTO as at audit date: 0

AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
BSB50215	Diploma of Business	Face to face	0

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

INTERVIEWEES

Name	Position	Training products
Kirandeep Singh	CEO	N/A
Navnish Bansal	Business Manager	N/A
Maciek Fibrich	Consultant	N/A

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 15/07/2015: Minor 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 15/07/2015: 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	Compliant	n/a
Standard 5	Compliant	n/a
Standard 6	Compliant	n/a
Standard 7	Not audited	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: Compliant	Following rectification: n/a		
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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: Compliant	Following rectification: n/a	
Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:		
• the existing skills, knowledge and experience of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the number of units and/or modules being delivered	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

BSB50215 Diploma of Business

- As noted with reference to Clause 1.8, evidence presented at audit did not confirm that the applicant’s assessment strategies and resources for all units from the above training product will meet the requirements specified in the BSB Business Services Training Package. See Clause 1.8 for further details of the non-compliance.

Analysis of rectification evidence provided at audit prior to the issuance of the audit report:

BSB50215 Diploma of Business

- The applicant provided revised assessment tools that satisfactorily rectified the non-compliance identified in respect of Clause 1.8, thereby demonstrating that the applicant’s assessment strategies and resources are consistent with the requirements specified in the BSB Business Services Training Package for the above training product.
- No further evidence is required.



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

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

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

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.

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

Evidence guidance	Y	N	N/A
A range of industry engagement strategies have been developed	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Industry engagement strategies have been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Outcomes from industry engagement strategies have been systematically used to inform:			
<ul style="list-style-type: none"> training and assessment strategies 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> training and assessment practices 	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<ul style="list-style-type: none"> resources, including facilities and equipment 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> current industry skills required to be held by trainers and assessors 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

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
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BSB50215 Diploma of Business			
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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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BSBADV507 Develop a media plan			
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- Assessment tools consist of:
- Precision Group assessment resources (PGAV 2, Jan 12). Uses 'Bounce Fitness' case study with simulated business environment and resources.
 - Assessor assessment pack. Includes assessor information, steps for assessors, assessment agreement.
 - Assessment tasks: Case study advertising brief provided. Task 1 - Practical. Define media requirements for the advertising brief provided in the case study. Task 2 - Practical. Select media vehicles. Determine likely effectiveness of different media vehicles. Analysis required as per specifications provided. Task 3 - Practical. Create media schedule and plan for campaign. Task 4 - Practical. Produce media plan for submission to CEO and board of directors. Task 5 - Role play. Present plan and consult with sales representatives from chosen media vehicles. Assessor to observe learner in their role as General Manager. Task 6: Oral questions.
 - Marking guide. Guidance/evidence criteria for evaluation of responses to assessment tasks.
 - Record of assessment.
 - Supplementary assessment tools: Observation checklist for Task 5 role play. Guidance for assessment of Task 6 oral questions.
 - RPL assessment tools for BSB50215 Diploma of Business.

BSBHRM513 Manage workforce planning			
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- Assessment tools consist of:
- Precision Group assessment resources (PGAV 2, Oct '13). Uses 'Bounce Fitness' case study with simulated business environment and resources.
 - Assessor assessment pack. Includes assessor information, steps for assessors, assessment agreement.
 - Assessment tasks: Task 1 - Project. Produce a workforce plan. Specifications provided. Assess supply and demand (labour/workforce requirements). Develop objectives and strategies for plan. Discuss how to implement initiatives to support workforce planning objectives. Discuss how to monitor and evaluate workforce trends. Task 2 - Manager's evidence record. Candidate is required to plan workforce strategies to achieve organisational goals and objectives. Assessor to complete form in discussion with manager of the learner.
 - Marking guide. Guidance/evidence criteria for evaluation of responses to assessment tasks.
 - Record of assessment.
 - Supplementary assessment tasks: Section 1 - Written task. 8 questions (with sub sections) related to awards, certified agreements, federal and state legislation related to WHS, environmental issues, equal opportunity, industrial relations, anti-discrimination, unfair dismissal, unfair dismissal rules as applicable to different business types, performance management, performance management systems, staff development options.
 - Model answers/responses to supplementary assessment task questions.
 - RPL assessment tools for BSB50215 Advanced Diploma of Business.

Principles of Assessment – fairness, flexibility, validity, reliability:			
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BSBADV507		BSBHRM51 3		
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 type="checkbox"/>	<input checked="" 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:

BSBADV507		BSBHRM51 3		
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 type="checkbox"/>	<input checked="" 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

Reasons for finding of non-compliance:

BSB50215 Diploma of Business

BSBADV507 Develop a media plan

- Review and analysis of the assessment tools provided at audit found that they did not address all of the knowledge evidence requirements specified in the BSB Business Services Training Package for unit *BSBADV507 Develop a media plan*. Specifically, the assessment tools did not address the requirement that *'To complete the unit requirements safely and effectively, the individual must ... outline and explain data analysis and matching techniques'*. Consequently, it could not be confirmed that sufficient evidence would be collected through the assessment process, in accordance with the rules of evidence, to support a competency judgement for unit *BSBADV507 Develop a media plan*.



Analysis of rectification evidence provided at audit prior to the issuance of the audit report:

BSB50215 Diploma of Business

BSBADV507 Develop a media plan

- The applicant provided a revised Task 6 (oral questions) assessment tool for the above unit of competency that included additional assessment questions addressing the identified deficiency in the collection of knowledge evidence for the unit (as per BSB Business Service Training Package specifications). The applicant also provided written guidance/evidence criteria for the evaluation of candidate responses to the additional assessment questions.
- Analysis of the evidence confirmed that sufficient evidence will be collected through the assessment process to support a competency judgement for unit *BSBADV507 Develop a media plan*, in accordance with the rules of evidence.
- No further evidence is required.

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.

Evidence guidance	Y	N	N/A
Original finding: Compliant Following rectification: n/a			
A plan for ongoing systematic validation of assessment has been developed that identifies:			
• when assessment validation will occur for each training product on the RTO’s scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• who will lead and participate in validation activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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.

Evidence guidance	Y	N	N/A
Original finding: Compliant Following rectification: n/a			
The plan for validation of assessment ensures:			
• all training products will be validated at least once every five years	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• 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"/>	
• relative risk of all training products are taken into account in scheduling validation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



- training products identified as high risk by ASQA are taken into account in scheduling validation

The above have been achieved in implementing the plan for validation of assessment

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: Not audited

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 type="checkbox"/>	<input checked="" type="checkbox"/>
Validation of assessment has been undertaken by one or more persons who, collectively, hold:		
• relevant vocational competencies and current industry skills	<input type="checkbox"/>	<input type="checkbox"/>
• current knowledge and skills in VET teaching and learning	<input type="checkbox"/>	<input type="checkbox"/>
• TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)	<input 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 type="checkbox"/>	<input type="checkbox"/>

Clause 1.12

The RTO offers recognition of prior learning to individual learners.

Original finding: Compliant

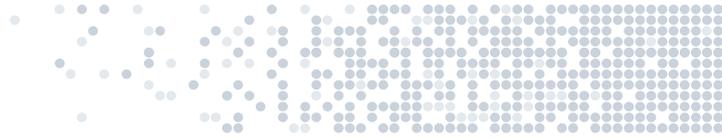
Following rectification: n/a

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
Peter Athey	BSB50215	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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: Not audited

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
Peter Athey	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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.~~

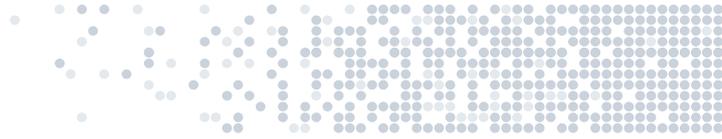
Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

The RTO uses assessors that conduct assessment only.



If no, clause is not audited. If yes:

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 If no, clause is not audited. If yes:	<input type="checkbox"/>	<input checked="" 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 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"/>

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: Not audited

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	<input type="checkbox"/>	<input type="checkbox"/>
If no, clause is not audited. If yes:		
The superseded unit of competency has continued to be delivered as required by training product packaging rules	<input 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:

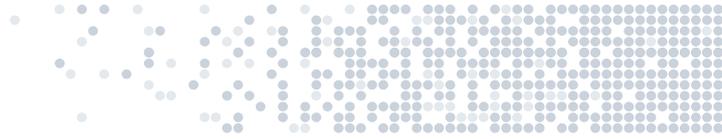
Clause 2.1

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	<input type="checkbox"/>	<input checked="" type="checkbox"/>



registration

Reasons for finding of non-compliance:

- The non-compliance identified at audit indicated that the applicant RTO was not compliant with all of the Standards and relevant Clauses included within the scope of the audit, as applicable to the applicant’s proposed scope of registration and operations.

Analysis of rectification evidence provided at audit prior to the issuance of the audit report:

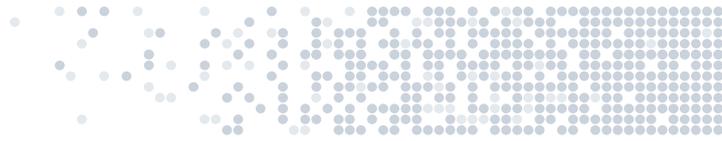
- Prior to the conclusion of the site audit the applicant provided evidence that rectified all areas of non-compliance identified in the audit report, thereby demonstrating that the applicant had taken action to ensure compliance with the Standards and relevant Clauses applicable to the applicant RTO’s proposed scope of registration and operations.
- No further evidence is required.

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 type="checkbox"/>	<input checked="" 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"/>



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: Not audited	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 type="checkbox"/>	
The above strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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 checked="" 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
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



AQF certification documentation is issued within 30 days of all requirements being met

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: Not audited **Following rectification:** n/a

Evidence guidance	Y	N
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 type="checkbox"/>	<input type="checkbox"/>

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

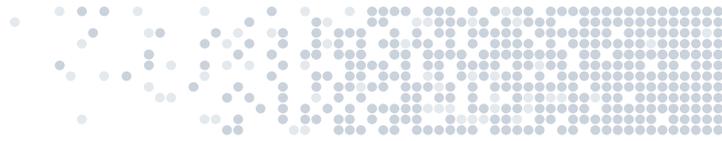
Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- 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: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



- uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards
- identifies where a third party is recruiting prospective learners on behalf of the RTO
- identifies where training and assessment is being provided on behalf of another RTO
- identifies where training and assessment is being provided by a third party
- distinguishes between national recognised training and other training
- includes the code and title of each training product as per www.training.gov.au
- includes accurate information about licensed or regulated outcomes
- includes details about financial support provided, including VET FEE-HELP
- includes details about relevant government funding subsidies

Does not guarantee that a learner:

- will successfully complete a training product
- can complete a training product in a manner not compliant with [Clauses 1.1](#) or [1.2](#)
- will obtain a particular employment outcome unless this is in the control of the RTO

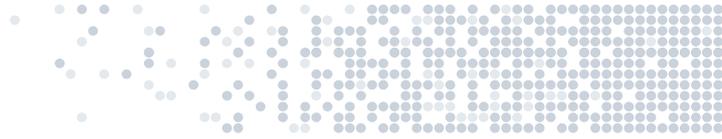
STANDARD 5 Each learner is properly informed and protected.
To be compliant with Standard 5 the RTO must meet the following:

Clause 5.1
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

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

Evidence guidance	Y	N
Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Clause 5.2
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:
a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;



- b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
- i) estimated duration;
 - 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	



- any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment

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:			
<ul style="list-style-type: none"> • all fees that must be paid 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • payment terms and conditions 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • refund terms and conditions 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • the learner's statutory right to a cooling-off period 	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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
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The RTO is an employer or volunteer organisation and:	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<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. 			

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
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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"/>
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Clause 6.3

The RTO's complaints policy and appeals policy:

- a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;**
- b) are publicly available;**
- c) set out the procedure for making a complaint or requesting an appeal;**
- d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and**
- e) 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
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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 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input checked="" type="checkbox"/>	<input type="checkbox"/>



○ operating in a fair and unbiased way	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• are publicly available	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Potential cause of complaints and appeals are identified and corrective action taken	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 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 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • 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"/>	
Other RTOs			<input type="checkbox"/>
All learners are protected by one or more of the following:			
<ul style="list-style-type: none"> • the RTO holds an unconditional financial guarantee from a bank operating in Australia where: <ul style="list-style-type: none"> ○ 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 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • the RTO holds current membership of a Tuition Assurance Scheme approved by ASQA 	<input type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • any other fee protection measure approved by ASQA 	<input type="checkbox"/>	<input type="checkbox"/>	



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

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
Public liability insurance is in place that:		
<ul style="list-style-type: none"> provides coverage for the RTO 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> covers training and assessment activities 	<input 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.

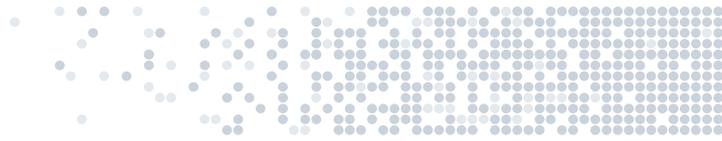
Not audited

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:		
<ul style="list-style-type: none"> by providing accurate and truthful responses to information requests relevant to the RTO’s registration 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> in the conduct of audits and the monitoring of its operations 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> by providing quality/performance indicator data 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> 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"/>
<ul style="list-style-type: none"> 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:	<input type="checkbox"/>	<input type="checkbox"/>
Written agreements include a clause requiring that third parties co-operate with ASQA in:		
<ul style="list-style-type: none"> providing accurate and factual responses to information requests from ASQA relevant to the delivery of services 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> in the conduct of audits and the monitoring of its operations 	<input type="checkbox"/>	<input type="checkbox"/>

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: Not audited	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
