



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

ORGANISATION DETAILS

Organisation's legal name:	Optimistic Futures Pty Ltd
Trading name/s:	Optimistic Futures Pty Ltd
RTO number:	41053
CRICOS number:	n/a

AUDIT TEAM

Lead auditor:	Gail Morley
Assistant/s:	n/a
Technical advisor/s:	n/a

AUDIT DETAILS

Application number/s:	1094503		
Audit number/s:	1007435 (Post initial) 1009444 (Application change)		
Audit reason 1:	Post initial		
Audit reason 2:	Application - change		
Audit reason 3:	n/a		
Activity type:	Site visit		
Address of site/s visited:	4 Lytton Street, Glenroy, VIC 3046		
Date/s of audit:	24 & 25 May 2016		
Organisation's contact for audit:	Mohammad Ayad mayad49@gmail.com	CEO 0425 853 732	
Clauses audited:	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 1.9, 1.10, 1.11, 1.12, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20, 1.22, 1.25, 1.26, 1.27, 2.1, 2.2, 2.3, 2.4, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6, 4.1, 5.1, 5.2, 5.3, 5.4, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 7.3, 7.4, 8.2, 8.6		

BACKGROUND

- Organisational structure
Mohamad Ayad is the only director and is CEO. Soundos Ayad is the administrator. There are three trainers.
- Current business activities
Mohammad Ayad runs a Family Day Care scheme (Bright Beginnings) from the Broadmeadows premises (7 Central Grove, Broadmeadows), which was used for training prior to the establishment of the Glenroy premises. Mohammad has recently started up a security company based in Glenroy



premises.

The Family Day Care scheme, Bright Beginnings has been operating for three years and the four child care students are current family day carers. Other carers who work for Bright Beginnings do their first aid updates through the RTO. The proposed security training is to be conducted at the Glenroy premises. There are no significant associates, outsourcing/partnership arrangements.

- Core clients/target groups
Child care: people currently working in the industry or wanting to work in the industry (school leavers)
Security: will be international students who are allowed to work/anyone seeking to get into the industry.
- Delivery venues (states, territories, offshore)
The organisation uses the Broadmeadows venue for existing child care students and some first aid. The organisation has been using the Glenroy premises for five months for first aid training.
- Fee revenue sources targeted
All training is fee for service at present. Victorian Government funding has been applied for but has not yet been approved.

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

- 4

AUDIT SAMPLE			
Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
POST INITIAL AUDIT SCOPE			
CHC50113	Diploma of Early Childhood Education and Care	Workplace	0
CHC30113	Certificate III in Early Childhood Education and Care	Workplace	4
HLTAID003	<i>Provide first aid</i>	Face to face	0
HLTAID004	<i>Provide an emergency first aid response in an education and care setting</i>	Face to face	0
CHANGE AUDIT SCOPE			
CPP30411	Certificate III in Security Operations	Face to face	N/A
CPP20212	Certificate II in Security Operations	Face to face	N/A
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)			

INTERVIEWEES		
Name	Position	Training products
Mohammad Ayad	CEO	CPP30411, HLTAID003,



HLTAID004

Jacqui Verrall	Consultant	n/a
Soundos Ayad	Administrator	n/a
Khadega Mohamed	Trainer/assessor	CHC30113, CHC50113

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding: Significant non-compliance

Report completed by: Gail Morley

Date: 30/05/2016

- 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 dd/mm/yyyy: n/a

Report completed by:

Date: dd/mm/yyyy

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
Standard 1	Not compliant	n/a
Standard 2	Not compliant	n/a
Standard 3	Not compliant	n/a
Standard 4	Not compliant	n/a
Standard 5	Not compliant	n/a
Standard 6	Not compliant	n/a
Standard 7	Compliant	n/a
Standard 8	Compliant	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: 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 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy has been consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Childhood Education and Care

- The organisation provided a detailed training and assessment strategy for each of the listed qualifications.

The strategies provided do not identify how assessment processes will assess the requirements of any given unit.

CPP30411 Certificate III in Security Operations

CPP20212 Certificate II in Security Operations

- The organisation provided advice at audit that its intended target groups for these qualifications included international students.

As the provider is not a CRICOS approved provider, it is prohibited under the *Education Services for Overseas Students Act 2000* from delivering any training to this particular cohort of learners.

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

CHC50113 Diploma of Early Childhood Education and Care

CHC30113 Certificate III in Early Childhood Education and Care

- Provide evidence that training and assessment strategies are consistent with the requirements of each qualification/unit of competency by identifying how assessment processes will assess the requirements of each unit.

CPP30411 Certificate III in Security Operations



CPP20212 Certificate II in Security Operations

- provide evidence its strategies for training and assessment have been amended to ensure its target groups for the above listed qualifications will not include international students.

Analysis of rectification evidence:

- Evidence yet to be supplied

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: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Training and assessment strategies and resources are consistent with the requirements of each training product sampled	<input checked="" type="checkbox"/>	<input 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"/>

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:

- its training and assessment strategies, practices and resources; and
- 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:			
• 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"/>	

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 ☒ ☐

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.**

Table 1.8.1 Principles of Assessment

Fairness	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
Flexibility	Assessment is flexible to the individual learner by: <ul style="list-style-type: none">• reflecting the learner's needs;• assessing competencies held by the learner no matter how or where they have been acquired; and• drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires: <ul style="list-style-type: none">• assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;• assessment of knowledge and skills is integrated with their practical application;• assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Table 1.8.2 Rules of Evidence

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.



Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.
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Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
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CHC30113 Certificate III in Early Childhood Education and Care

CHCLEG001 Work legally and ethically

CHCECE010 Support the holistic development of children in early childhood

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment 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 ☐ ☒

CHC50113 Diploma of Early Childhood Education and Care

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety

CHCECE009 Use an approved learning framework to guide practice

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment 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 ☐ ☒

HLTAID004 Provide an emergency first aid response in an education and care setting

HLTAID003 Provide first aid

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment 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 ☐ ☒

CPP20212 Certificate II in Security Operations

CPPSEC2004B Respond to a security situation

CPPSEC2010A Protect safety of persons

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment 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

CPP30411 Certificate III in Security Operations

CPPSEC3003A Determine response to security risk situation

CPPSEC3013A Control persons using empty hand techniques

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assessment 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

CHC50113 Diploma of Early Childhood Education and Care

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety

CHCECE009 Use an approved learning framework to guide practice

CHC30113 Certificate III in Childhood Education and Care

CHCLEG001 Work legally and ethically

CHCECE010 Support the holistic development of children in early childhood

HLTAID003 Provide first aid [Explicit unit]

HLTAID004 Provide an emergency first aid response in an education and care setting [Explicit unit]

- The organisation provided a full suite of assessment materials.
- The evidence provided for the above listed units of competency did not demonstrate compliance with the Principles of Assessment and the Rules of Evidence, specifically validity, because no decision making rules are provided to assessors in relation to the level of performance required to demonstrate competence for individual knowledge and skills assessment tasks or for units of competency as a whole.

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

CHC50113 Diploma of Early Childhood Education and Care

CHCDIV002 Promote Aboriginal and/or Torres Strait Islander cultural safety

CHCECE009 Use an approved learning framework to guide practice

CHC30113 Certificate III in Childhood Education and Care

CHCLEG001 Work legally and ethically

CHCECE010 Support the holistic development of children in early childhood

HLTAID003 Provide first aid [Explicit unit]

HLTAID004 Provide an emergency first aid response in an education and care setting [Explicit unit]

- provide revised assessment tools for the above listed units of competency which provide clear instructions to assessors in relation to rules for making decisions about satisfactory performance.

Analysis of rectification evidence:

- Evidence yet to be supplied



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:			
• 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 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:			
• 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	<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: Not compliant

Following rectification: n/a

Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If no, clause is not audited. If yes:		
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 checked="" type="checkbox"/>
• current knowledge and skills in VET teaching and learning	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• 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"/>

Reasons for finding of non-compliance:

- The RTO provided evidence of systematic validation of assessment, however it was not demonstrated that the validation had been conducted by person/s with relevant vocational competencies and current industry skills.

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

- Provide evidence that validation of assessment has been conducted by person/s with relevant vocational competencies and current industry skills.

Analysis of rectification evidence:

- Evidence yet to be supplied

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:

- vocational competencies at least to the level being delivered and assessed;
 - current industry skills directly relevant to the training and assessment being provided;
- and
- 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

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	
	Y	N	Y	N
Mohammad Ayad	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Khadega Mohamad	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Popi Hatzimihalis	<input checked="" 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
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The RTO uses assessors that conduct assessment only.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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If no, clause is not audited. If yes:

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

Assessor name	Schedule 1 Item 1		Schedule 1 Item 2		Schedule 1 Item 3	
	Y	N	Y	N	Y	N
	<input 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

Schedule 1, Item 3: TAESS00001 Assessor Skill Set or its successor

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
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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"/>
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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
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People delivering training under supervision are utilised	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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If no, clauses 1.17 – 1.20 are not audited, go to [Clause 1.22](#). 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"/>
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People under supervision do not determine assessment outcomes	<input type="checkbox"/>	<input type="checkbox"/>
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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

Each individual who works under the supervision of a trainer **must meet all** requirements for each training product being delivered:

Individual working under supervision name	Training product code/s delivered	1.18 (a)		1.18 (b)		1.18 (c)	
		Y	N	Y	N	Y	N

☐ ☐ ☐ ☐ ☐ ☐

*Schedule 1, Item 4: TAESS00003 Enterprise trainer and assessor skill set or its successor; or
TAESS00007 Enterprise trainer – presenting skill set or its successor; or
TAESS00008 Enterprise trainer – mentoring skill set or its successor*

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

☐ ☐

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

☐ ☒

People delivering training under supervision have been monitored by the supervising trainer

☐ ☐

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.



Not audited - clause does not apply from 1 January 2016 (Clause 1.22 applies from this date)

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).~~

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:

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 requirements:

- | | | |
|--|--------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50111 Diploma of Vocational Education and Training or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50211 Diploma of Training Design and Development or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • 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 the following requirement:

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

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).

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
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A TAE qualification or the assessor skill set is included in the audit scope?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
---	--------------------------	-------------------------------------	--

If no, clause is not audited.

If yes and RTO is applying to add training product to scope, Schedule 2 a) and c) apply

If yes and training product is already on scope, Schedule 2 b) and c) apply

Schedule 2 a) (addition to scope only)

Validation of the RTO's assessment tools, processes and outcomes for five (5) other AQF qualifications and/or units of competency on scope has occurred (or all, if RTO has less than five (5) qualifications and/or units on scope)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------

Validation of the assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set has occurred.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------

Schedule 2 b) (RTOs that already have TAE training products on scope)

Validation of the assessment system used for delivery of the training and assessment qualification or assessor skill set has occurred.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------

Validation of the RTO's assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set has occurred.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------	--------------------------

Schedule 2 c)

Validation has been carried out by a validator/s who:

- | | | |
|--|--------------------------|--------------------------|
| • collectively have current knowledge and skills in vocational teaching and learning | <input type="checkbox"/> | <input type="checkbox"/> |
| • hold the training and assessment qualification or assessor skill set at least to the level being validated | <input type="checkbox"/> | <input type="checkbox"/> |
| • are not employed or subcontracted by the RTO to provide training and assessment | <input type="checkbox"/> | <input type="checkbox"/> |
| • have no other involvement or interest in the operations of the RTO | <input type="checkbox"/> | <input type="checkbox"/> |

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"/>

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 checked="" 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: n/a

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 RTO did not demonstrate compliance with all the clauses sampled.

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

- Provide evidence to rectify all identified non-compliances referenced within this report.

Analysis of rectification evidence:

- Evidence yet to be supplied

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"/>



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: Not compliant

Following rectification: n/a

Evidence guidance	Y	N
AQF certification documentation:		
• complies with the AQF Qualifications Issuance Policy	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• complies with the requirements of Schedule 5 to these Standards	<input type="checkbox"/>	<input checked="" 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](#)

Reasons for finding of non-compliance:

- The organisation provided policies and procedures for issuing AQF documentation and sample templates.
- The evidence provided does not support compliance with the requirements of Clause 3.2 (Schedule 5) and the AQF Qualifications Issuance Policy because:
 - a Record of Results template was not provided
 - the wording in the Statement of Attainment was incorrect
 - the AQF logo was included on the Statement of Attainment
 - the National RTO code was not included on the testamur/Statement of Attainment.



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

- provide evidence showing that it will issue AQF documentation that meets the requirements of the AQF Issuance Policy and Schedule 5 of these Standards.

Analysis of rectification evidence:

- Evidence yet to be supplied

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

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
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"/>

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security of Student Identifiers and related records is ensured	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

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: n/a

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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes the code and title of each training product as per www.training.gov.au	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• includes accurate information about licensed or regulated outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Reasons for finding of non-compliance:

- The organisation presented the following evidence:
 - website, including testimonials
 - brochures/flyers
 - Student handbook.
- The information provided did not support compliance with the requirements of Clause 4.1 a), c) and h) because:
 - some information included on the brochures/flyers inaccurately presented credit transfer arrangements for first aid training products on the organisation's scope of registration



- the website included testimonials purporting to be from students for which consent had not been obtained and which was not accurate and factual
- the brochures/flyers did not include appropriate qualification/unit codes.

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

- provide evidence that it has reviewed (and where appropriate amended) all information about RTO services including but not limited to its website, student handbook and brochures/flyers.

Analysis of rectification evidence:

- Evidence yet to be supplied

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



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: Not 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 type="checkbox"/>	<input checked="" type="checkbox"/>	
• estimated duration of training and/or assessment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• location/s where training and/or assessment will be provided	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• mode/s of delivery	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	
• confirmation that the RTO is responsible for issuance of AQF certification documentation	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- The organisation provided the following information:
 - website, including testimonials
 - brochures/flyers
 - Student handbook.
- The information provided did not support compliance with the requirements of Clause 5.2 a), b), c), d), and e) because:
 - some information included on the brochures/flyers inaccurately presented credit transfer arrangements for first aid training products on the organisation's scope of registration

- the required information about training duration, location, delivery modes, RTO obligations and learners rights was incomplete.
- the brochures/flyers did not included appropriate qualification/unit codes.

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

- provide evidence that it provides, prior to enrolment or the commencement of training, whichever comes first, all specified information to enable a learner to make an informed decision about undertaking training with the RTO.

Analysis of rectification evidence:

- Evidence yet to be supplied

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:
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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:			
• the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• RTO staff	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• third parties	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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:

- 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: Not compliant

Following rectification: n/a

Evidence guidance	Y	N
The complaints and appeals policy/ies:		
• adopt the principles of natural justice and procedural fairness by:		
o informing those involved of the allegations	<input checked="" type="checkbox"/>	<input type="checkbox"/>
o providing those involved an opportunity to present their side of the matter	<input checked="" type="checkbox"/>	<input type="checkbox"/>
o operating in a fair and unbiased way	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• are publicly available	<input type="checkbox"/>	<input checked="" 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"/>

Reasons for finding of non-compliance:

- The organisation provided details of its complaints and appeals policy.
- The evidence provided does not support compliance with the requirements of Clause 6.3 because the Complaints and Appeals Policy was not publicly available.

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

- ensure its Complaints and Appeals Policy is publicly available.

Analysis of rectification evidence:

- Evidence yet to be supplied

Clause 6.4

Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and**
- 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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:

- securely maintains records of all complaints and appeals and their outcomes; and**
- 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
Where an RTO collects fees in advance in excess of \$1500 from individual learners:			
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 	<input type="checkbox"/>	<input type="checkbox"/>	



no additional cost to the learner; **or**

- be refunded for all fees paid in advance over \$1500 for services yet to be delivered ☐ ☐

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 \$1500 for each learner for services yet to be delivered; 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 ☒ ☐
- covers training and assessment activities ☒ ☐

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)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>
• 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: 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>