



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

ORGANISATION DETAILS

Organisation's legal name:	P.R.O. Management Pty Ltd ATF The PRO Management Trust
Trading name/s:	P.R.O. Skills and Training
RTO number:	40890
CRICOS number:	N/A

AUDIT TEAM

Lead auditor:	Denise Middleton
Auditor/s:	N/A
Technical advisor/s:	N/A

AUDIT DETAILS

Application number/s:	N/A	
Audit number/s:	1005967	
Audit reason 1:	Post initial	
Audit reason 2:	n/a	
Audit reason 3:	n/a	
Activity type:	Site visit	
Address of site/s visited:		
Date/s of audit:	27 May 2015	
Organisation's contact for audit:	Darren Beck	Director
Clauses audited:	1.1 - 1.21, 1.26, 1.27, 2, 3, 4, 5, 6, 7.3, 7.4, 8.2 and 8.6	

BACKGROUND

- Prior to becoming a registered training organisation, the entity partnered with Sunshine Coast Institute of TAFE. The organisation became a registered training organisation in early 2014 to ensure the organisation could meet the needs of its clients.
- The organisation has Memorandums of Understanding with BIG4 Toowoomba Garden City Holiday Park and BIG4 Batemans Bay Beach Resort to use their fully equipped holiday parks to train and assess learners enrolled with P.R.O. Management Pty Ltd.
- No non-accredited training is delivered by the organisation.
- The organisational structure consists of Chief Executive Officer, two trainer/assessors, one administration officer (finance) and one administration officer (advertising).
- Training is delivered fee for service and the organisation also has a Certificate III Guarantee contract with the State Government to deliver Certificate III in Tourism. No students have been enrolled to date under the Certificate III Guarantee program.



- The organisation provides training in south-east Queensland and on the south coast of New South Wales.
- Mature aged learners who are employed in the Tourism Industry and unemployed persons are the target market of the organisation.

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

- Currently, the organisation has 35 students enrolled in SIT30112 Certificate III in Tourism.

AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
SIT30112	Certificate III in Tourism	Face to face/Online	35
SIT40812	Certificate IV in Holiday Parks and Caravan	Face to face/Online	Nil

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

INTERVIEWEES

Name	Position	Training products
Darren Beck	Chief Executive Officer	SIT30112 Certificate III in Tourism SIT40812 Certificate IV in Holiday Parks and Resorts
Natalie Berzinski	Trainer/Assessor	SIT30112 Certificate III in Tourism SIT40812 Certificate IV in Holiday Parks and Resorts

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding as at 27/05/2015: 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 17/06/2015: Compliant

AUDIT FINDING BY STANDARD

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



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

ABOUT THIS REPORT

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

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

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



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

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

Original finding: 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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"/>
Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

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



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"/>

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

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

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

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
SIT30112 Certificate III in Tourism			
Assessment meets the assessment requirements of the training package or course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
SITXCCS303 Provide service to customers			
Assessment tools consist of:			
<ul style="list-style-type: none"> Short answer questions (16) (Aussie host) Observation checklist in production - to come Sample answers 			



- Instructions to assessor/trainers
- Instructions to learners

SITTTSL308 Use a computerised reservations or operations system

Assessment tools consist of:

- Scenarios
- Short answer questions
- Instructions to students X 3
- Observation checklist - based on practical scenarios
- Sample answers
- Instructions to assessors

Student files:

- Student 1
- Student 2

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

SITXCCS30 3		SITTTSL308		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input type="checkbox"/>	<input checked="" 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:

SITXCCS30 3		SITTTSL308		
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
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Evidence guidance	Y	N	N/A
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SIT40812 Certificate IV in Holiday Parks and Caravan

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

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

SITXCOM401 Manage conflict

- Assessment tools consist of:
- Instructions to the trainee
 - Role plays
 - Short answer questions
 - Instructions to trainer/assessor
 - Sample answers

SITTTSL308 Use a computerised reservations or operations system

- Assessment tools consist of:
- Scenarios
 - Short answer questions
 - Instructions to students X 3
 - Observation checklist - based on practical scenarios
 - Sample answers
 - Instructions to assessors

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

SITXCOM40 1		SITTTSL308		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		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"/>		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"/>			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"/>		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"/>		Allows for reasonable adjustment and provides for objective feedback



| Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:					
SITXCOM40 1		SITTTSL308			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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:

SIT30112 Certificate III in Tourism

- o *SITXCCS303 Provide service to customers*
- The organisation could not provide evidence to demonstrate that it had developed the practical assessment tools for the above unit of competency.

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

SIT30112 Certificate III in Tourism

- o *SITXCCS303 Provide service to customers*
- The organisation is to provide practical assessment tools which address critical aspects, demonstrate that skills and knowledge are integrated with their practical application and criteria for defining acceptable performance are outlined for the instruments (sample answers).

Analysis of rectification evidence:

SIT30112 Certificate III in Tourism

- o *SITXCCS303 Provide service to customers*
- The organisation provided practical assessment tools which addressed all aspects of the competency including critical aspects, skills and knowledge, sample answers, rules of evidence and principles of assessment.
- The organisation is now compliant with this clause.

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
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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.

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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The above have been achieved in implementing the plan for validation of assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 audited

Following rectification: n/a

Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product.		<input checked="" type="checkbox"/>
If no, clause is not audited. If yes:	<input 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"/>



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

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
Darren Beck	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Natalie Berzinski	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Machiel Christie	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor

Schedule 1, Item 2: A Diploma or higher level qualification in adult education

Clause 1.15

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
The RTO uses assessors that conduct assessment only.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

If no, clause is not audited. If yes:

Assessor name



Training product code/s delivered

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

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

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

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

Clause 1.16

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment

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

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



People under supervision do not determine assessment outcomes

Clause 1.18
The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:
 a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
 b) has vocational competencies at least to the level being delivered and assessed; and
 c) has current industry skills directly relevant to the training and assessment being provided.

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

Evidence guidance	Y	N
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Individual working under supervision name

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

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

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

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

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

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

Evidence guidance	Y	N
Training and assessment complies with Standard 1	<input type="checkbox"/>	<input type="checkbox"/>



Clause 1.20

Without limiting Clauses 1.17 - 1.19, the RTO:

- a) determines and puts in place:
 - i) the level of the supervision required; and
 - ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
Supervision arrangements have been identified	<input type="checkbox"/>	<input type="checkbox"/>
People delivering training under supervision have been monitored by the supervising trainer	<input type="checkbox"/>	<input type="checkbox"/>

Clause 1.21

Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the training and assessment qualification at least to the level being delivered; or
- b) have demonstrated equivalence of competencies.

Original finding: Not audited

Following rectification: n/a

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

Trainer / Assessor name

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

- | | | |
|---|--------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50111 Diploma of Vocational Education and Training or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE50111 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAE50211 Diploma of Training Design and Development or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to TAE50211 | <input type="checkbox"/> | <input type="checkbox"/> |
| • diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |
| • equivalent competencies to diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |



Trainer / Assessor name

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

- hold a TAE training product at least to the level being delivered
- equivalent competencies to the above

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 If no, clause is not audited. If yes:	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
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"/>
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"/>
Learners are not commenced in training products that have been removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Clause 1.27

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

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

STANDARD 2

The operations of the RTO are quality assured.

To be compliant with Standard 2 the RTO must meet the following:



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

Original finding: Not compliant

Following rectification: Compliant

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

Reasons for finding of non-compliance:

- As non-compliance was identified in clauses 1.8, 3.2 and 5.2, this clause is deemed non-compliant.

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

- This clause will become compliant when the non-compliance identified in clauses 1.8, 3.2 and 5.2 have been rectified.

Analysis of rectification evidence:

- This clause is now compliant as non-compliances identified in clauses 1.8, 3.2, and 5.2 have been rectified.

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:		
<ul style="list-style-type: none"> • AVETMISS data 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • quality indicator data 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • validation outcomes 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • client feedback 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • trainer and assessor feedback 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • 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



- The academic transcript contained the NRT logo; hence this clause is non-compliant as it did not comply with Schedule 4 (6).

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

- The organisation is required to provide an updated copy if it's academic transcript which complies with the requirements of Schedule 4 (6).

Analysis of rectification evidence:

- The organisation provided an updated copy if it's academic transcript which complied with the requirements of Schedule 4 (6).
- The organisation is compliant with this standard.

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 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	<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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



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: Not compliant	Following rectification: Compliant		
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• any materials and equipment the learner must provide	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

- The organisation has not provided entry requirements for SIT40812 Certificate IV in Holiday Parks and Resorts to prospective learners.

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

- The organisation is required to demonstrate how it will inform learners of the entry requirements required to enrol in SIT40812 Certificate IV in Holiday Parks and Resorts.

Analysis of rectification evidence:

- The organisation provided a copy of its information supplied to learners when the organisation receives an inquiry about enrolling in SIT40812 Certificate IV in Holiday Parks and Resorts. The information included fees and charges and pre-requisite requirements.
- The organisation is now complaint with this clause.

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 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: Not audited

Following rectification: n/a

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

STANDARD 6

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

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

Clause 6.1

The RTO has a complaints policy to manage and respond to allegations involving the conduct of:
 a) the RTO, its trainers, assessors or other staff;
 b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff;
 or
 c) a learner of the RTO.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
The RTO is an employer or volunteer organisation and:	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• 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:			
• 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 type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/>

Clause 6.2
The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO’s behalf.

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

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

An appeals policy has been developed covering decisions made for or on behalf of the RTO (may be combined with complaints):

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**

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 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: Not audited

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 type="checkbox"/>	
• the complainant or appellant is regularly updated in writing	<input 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: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
Secure records are maintained of all complaints and appeals and their outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Potential cause of complaints and appeals are identified and corrective action taken		<input type="checkbox"/>	<input checked="" type="checkbox"/>

Clause 6.6

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

Original finding: Compliant

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 checked="" 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
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Prepaid fees in excess of \$1,500 are collected from individual learners	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
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If no, clause is not audited. If yes:

Government entities and universities			
--------------------------------------	--	--	--

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"/>	<input type="checkbox"/>
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- be placed into an equivalent course such that:
 - the new location is suitable to the learner
 - the learner receives the full services for which they have prepaid at no additional cost to the learner; **or**
- be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount

	<input type="checkbox"/>	<input type="checkbox"/>
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NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015

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

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

	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>
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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
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Public liability insurance is in place that:

- | | | |
|---|-------------------------------------|--------------------------|
| • provides coverage for the RTO | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • covers training and assessment activities | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Clause 7.5

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



- in the conduct of audits and the monitoring of its operations

Clause 8.3

The RTO notifies the Regulator:

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

Not audited

Clause 8.4

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

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

Not audited

Clause 8.5

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

Not audited

Clause 8.6

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

Original finding: 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