



Audit report – VET Quality Framework Standards for Registered Training Organisations (RTOs)

ORGANISATION DETAILS

Organisation's legal name	The Health Arts College Pty Ltd
Trading name/s	The Health Arts College Pty Ltd
RTO number	21588
CRICOS number	

AUDIT TEAM

Lead auditor	Matthew McMahon
Auditor/s	Roslyn Braid
Technical adviser/s	

AUDIT DETAILS

Application number/s	1066033	
Audit number/s	1007225	
Audit reason 1	Application - renewal	
Audit reason 2	Other - specify: VET FEE HELP	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	34-36 Ellingworth Parade Box Hill	
Date/s of audit	12-13 March 2015	
Organisation's contact for audit	Sonia Sganga ceo@thacollege.edu.au	CEO 1300 658 326
Clauses audited	1.1 – 1.21, 1.26, 1.27, 2, 3, 4, 5, 6, 7.3, 8.2, 8.6	

BACKGROUND

- The Health Arts College was first registered as an RTO on 4 March 2005.
- It is registered to deliver qualifications from the BSB07, CHC12, HLT07 and SIB10 training packages.
- It is currently delivering training from all areas, with most enrolments being in the BSB07 and HLT12 packages.
- BSB07 was recently added to the RTO's scope as a need was seen for students completing higher level qualifications in the HLT07 Health Training Package to undertake business training.

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

- 120



AUDIT SAMPLE			
Code	Training product	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB50207	Diploma of Business	Face to face	69
BSB60407	Advanced Diploma of Management	Face to face	Nil
CHC30212	Certificate III in Aged Care	Face to face, workplace	Nil
CHC40108	Certificate IV in Aged Care	Face to face, workplace	Nil
SIB50110	Diploma of Beauty Therapy	Face to face	10

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

INTERVIEWEES		
Name	Position	Training product
Ms Sonia Sganga	CEO	All
Mr Raminderjot Bedi	Director	All

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 13/3/2015: Critical non-compliance

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 4/5/2015: Compliant

AUDIT FINDING BY STANDARD		
Standard	Original finding	Finding following rectification
Standard 1	Not compliant	Compliant
Standard 2	Not compliant	Compliant
Standard 3	Compliant	n/a
Standard 4	Compliant	n/a
Standard 5	Not compliant	Compliant
Standard 6	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 (RTOs) 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:

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

1.2 For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:
a) the existing skills, knowledge and the experience of the learner;
b) the mode of delivery; and
c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Original finding: Not compliant	Following rectification: Compliant		
Evidence guidance	Y	N	
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 type="checkbox"/>	<input checked="" 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: <u>AQF</u> , <u>AQF volume of learning</u>			
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>			

Reasons for finding of non-compliance:

- The RTO did not demonstrate how it determined the existing skills, knowledge and experience of learners enrolled in BSB50207 Diploma of Business were suitable to undertake a diploma level course.

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

- Provide evidence that it has assessed the students in terms of their existing skills, knowledge and

experience as being suitable to undertake a diploma level course.

Analysis of rectification evidence:

- Appendix 1 Policy 03 Course Entry Requirements (Qualifications, Experience)
- Appendix 2 Policy 04 Enrolment Procedure
- Appendix 3 Policy 10 Course progress and intervention
- Appendix 4 Policy 16 Academic & student support
- Students currently enrolled in Diploma of Business have undertaken the new version of the LLN and a pre training review. See below appendices.
- Appendix 18 Pre training review
- Appendix 19 Re assessed LLN
- Appendix 22 implemented forms for new enrolments.

The RTO provided a sample of LLN reassessments for students taking the BSB50207 Diploma of Business

The RTO provided evidence that demonstrates compliance with the 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: Not compliant	Following rectification: Compliant	
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 type="checkbox"/>	<input checked="" 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"/>

Reasons for finding of non-compliance:

- The RTO's assessment materials did not meet the requirements of the training package as per Clause 1.8

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

- Address the non compliances identified at Clause 1.8

Analysis of rectification evidence:

- Refer appendices 8-17 Revised Assessment tools.
- The RTO provided evidence that demonstrates compliance with the clause.



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

Original finding: Not compliant

Following rectification: Compliant

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

Reasons for finding of non-compliance:

- Assessment practices are not consistent with the requirements of the training package.
- For the student Hanh Nguyen, answers given for questions 1, 7 and 8 for the unit *BSBADM506B Manage business document design and development*, were not answered correctly and were marked as correct. There was no comment by the assessor as to why this had occurred.
- For the units *BSBADV507B Develop a media plan* and *BSBADM506B Manage business document design and development*, sufficient evidence of competency was not retained in student files examined at audit. Student responses to written questions were retained but project work was not.

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

- Explain why the RTO's quality assurance systems did not detect the non compliances
- Provide evidence of project work for the units *BSBADV507B Develop a media plan* and *BSBADM506B Manage business document design and development*.

Analysis of rectification evidence:

- The Moderation and Validation schedule for 2015 was to commence in the month of April. Therefore the non-compliances were not detected. Improvement has been identified and addressed. Moderation will now be undertaken at the completion of each unit of competency/co assessed unit.
- Appendix 6 Policy 24
- Refer appendices 8-17 Revised Assessment tools.
- Appendix 21- Hanh Nguyen project. NB Trainer explained that he didn't have concerns regarding the student's progression due to the student's active involvement in class and work produced in the project. Question 1,7,8 were covered in the project.
- Appendix 23 As a measure to ensure that this was the case, oral questioning responses for Hanh Nguyen (question 1, 7, 8) conducted by a trainer not originally involved with the original assessment outcome documented on Student support file note.
- Appendix 19 Reassessed LLN
- Appendix 2, project work for:
 - Kim Huynh
 - Hanh Nguyen
 - Kim Thi Anh Phan
 - Tinh Phuong Tran
 - Nghia Nguyen
- Evidence of Project work for *BSBADM506B Manage business document design and development* is included in the rectification, however the unit *BSBADV507B Develop a media*

plan is yet to be delivered to the students, therefore no project work available

Student was reassessed by another trainer and found to be competent by the RTO.

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

Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies

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

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

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

A range of industry engagement strategies have been developed

Industry engagement strategies have been implemented

Outcomes from industry engagement strategies have been systematically used to inform:

- training and assessment strategies
- training and assessment practices
- resources, including facilities and equipment
- current industry skills required to be held by trainers and assessors

Y	N	N/A
<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	

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

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: Not compliant

Following rectification: Compliant

Evidence guidance

Support needs of learners have been identified

Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product

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

Reasons for finding of non-compliance:

- The Language Literacy and Numeracy test issued to students undertaking the BSB50207 Diploma of Business was different to the test initially supplied to auditors at audit. The test taken by the students did not collect enough evidence to make a determination on their suitability to undertake a diploma level course.

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

- Explain what will be done to determine if the language levels of the students enrolled in the

Diploma are suitable for that qualification and if required, what assistance will be offered to students that are identified as needing assistance.

Analysis of rectification evidence:

- Students LLN has been reassessed and where assistance has been identified, strategies have been put in place to support the student
- Appendix 18 Pre-Training Review conducted
- Appendix 19 Reassessed LLN
- Appendix 3 Policy 10
- Appendix 4 Policy 16

The RTO has reassessed student with a new LLN test.

- 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
SIB 50110 Diploma of Beauty Therapy				
Assessment meets the assessment requirements of the training package or course.		<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SIBBFAS405A Provide advanced facial treatments				
Assessment tools consist of:				
<ul style="list-style-type: none"> • Co assessed with the unit below • mapping document • Assessor copy • Assessment 1 written questions • Assessment 2 Case studies • Assessment 3 Salon/log book • Assessment 4 Practical demonstration 				
SIBBCCS405A Develop Treatment plans				
Assessment tools consist of:				
<ul style="list-style-type: none"> • Assessment 1 Written Questions • assessment 2 Salon/log book practical observation • Assessment 3 practical demonstration 				
Principles of Assessment – fairness, flexibility, validity, reliability:				
SIBBFAS405 A		SIBBCCS405 A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)



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

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

SIBBFAS405 A		SIBBCCS405 A		Evidence guidance:	
Y	N	Y	N		
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
BSB50207 Diploma of Business			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

BSBADV507B Develop a media plan

Assessment tools consist of:

- Assessment 1 Projects
- Assessment 2 Written Questions.
- Cover sheet
- Assessor instructions Student information
- Assessor checklist Assessment 1

BSBADM506B Manage business document design and development



Assessment tools consist of:

- Assessment 1 Projects
- Assessment 2 Written Questions.
- Cover sheet
- Assessor instructions Student information
- Assessor checklist Assessment 1

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

BSBADV507B		BSBADM506B		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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:

BSBADV507B		BSBADM506B		
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
BSB60407 Advanced Diploma of Management			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>



BSBMGT616A Develop and implement strategic plans

Assessment tools consist of:

- Assessment 1 Strategic plan
- Assessment 2 Written analysis of 3 different strategic plans, Observation of implementation and monitoring of strategic plan undertaken
- Assessment 3 - 9 Written questions

BSBMGT617A Develop and implement a business plan

Assessment tools consist of:

- Assessment 1 Project (develop a business plan)
- Assessment 2 Observation (analyse different business plans (implement and monitor a business plan))

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

BSBMGT616 A		BSBMGT617 A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

BSBMGT616 A		BSBMGT617 A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past
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Evidence guidance	Y	N	N/A
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CHC30212 Certificate III in Aged Care

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

CHCPA301B Deliver care services using a palliative approach

- Assessment tools consist of:
- Assessment 1 Observations (4 observations clinical supervisor) (2 observations – assessor)
 - Assessment 2 Reflective journal
 - Assessment 3 Project - 1500 words

CHCAC317A Support older people to maintain their independence

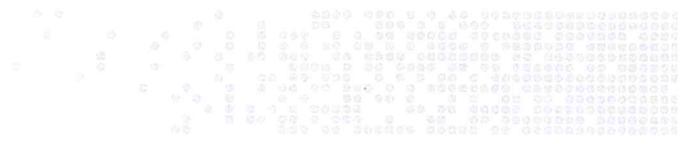
- Assessment tools consist of:
- Assessment 1 Observatons (4 observations workplace, 2 observations assessor),
 - Assessment 2 Written assessment 20 questions

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

CHCPA301B		CHCAC317A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CHCPA301B	CHCAC317A
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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

Evidence guidance	Y	N	N/A
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CHC40108 Certificate IV in Aged Care

Assessment meets the assessment requirements of the training package or course. Y N N/A

Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines) Y N N/A

CHCAC412B Provide services to older people with complex needs

- Assessment tools consist of:
- Assessment 1 Observations to include a workplace record booklet with 4 clinical supervisor observations)
 - Assessment 2 Written assessment 40 questions

CHCORG406C Supervise work

- Assessment tools consist of:
- Assessment 1 Observations
 - Assessment 2 Written questions.

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

CHCAC412B		CHCORG406C		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CHCAC412B		CHCORG40 6C			
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:

- For the units *BSBADV507B Develop a media plan* and *BSBADM506B Manage business document design and development*, sufficient evidence of competency was not retained in student files examined at audit. Student responses to written questions were retained but project work was not.
- For the unit *BSBMGT616A Develop and implement strategic plans*. Assessment 3, point 2 in the instructions to students states that students answer all questions. The instructions do not inform the students how many of the questions are to be answered correctly to satisfactorily complete the assessment. There is no information to the student as to how long written answers should be.
- For the unit *BSBMGT616A Develop and implement business plan*, assessment 2 is exactly the same as *BSBMGT617A Develop and implement strategic plans* assessment 2.
- The assessments for the above 2 units of competency must ensure that appropriate documentation and resources normally used in the workplace are used– no such documents were presented at audit.
- For the unit *SIBBFAS405A Provide advanced facial treatments (co assessed with SIBBCCS406A use electricity in beauty treatments)*. Assessment 2 is not fair or reliable as it will not generate the same expected response for all students when it instructs students to read the 3 case studies and answer the questions (against scenario 1 & 3) or complete the task (against scenario 2).
- Assessment 1 does not inform the students how many of the 60 questions they are to answer correctly to satisfactorily complete the assessment.
- Question 33 which relates to performance criteria *4.1 Assess premature ageing of skin and discuss possible causes with client* – asks “what type of current is best when treating a prematurely aged skin”? This question does not make sense.

- Question 49 relates to performance criteria 4.7 *Apply and remove soothing products according to manufacturer instructions*. Students are asked to list three serum types that can be used during an indirect high frequency facial. The question did not relate to the mapped performance criteria as listed in the organisation's own assessment mapping document.
- Question 50 of Assessment 1 appeared to be incomplete.
- For the unit *CHCAC412B Provide services to older people with complex needs*, information for students for assessment 2 stated the timeframe is 2 hours and a minimum of 100% correct is equal to competency, which could be misleading to the student when the unit has 2 assessments to complete to determine competency.
- For the unit *CHCORG406C Supervise work*, information for students for assessment 2 stated the timeframe is 2 hours and a minimum of 100% correct is equal to competency, which could be misleading to the student when the unit has 2 assessments to complete to determine competency.
- For the unit *CHCPA301B Deliver care services using a palliative approach* assessment 3 provides guidance on the number of words required, there is no time frame given for completing this assessment.
- For the unit *HLTCOM503B Manage a practice*, model answers had not been developed for assessors.

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

- Provide evidence that instructions to students for the above units of competency are clear and indicate to the student what the assessment conditions are and what is expected on order to satisfactorily complete an assessment.
- Provide evidence that the above assessments have been revised and questions are complete and in accordance with the RTO's assessment mapping documentation.
- Provide evidence that model answers have been developed for the unit *HLTCOM503B Manage a practice*.
- Provide evidence of project work for the units *BSBADV507B Develop a media plan* and *BSBADM506B Manage business document design and development*.

Analysis of rectification evidence:

- Instructions to students for the below units of competency are clear and indicate to the student what the assessment conditions are and what is expected on order to satisfactorily complete an assessment.
- Assessments have been revised.
- Appendix 14 *CHCAC412B —Assessment Resource Summary* pg. 4 and pg. 15
- Appendix 13 *CHCAC317A - Assessment Resource Summary* pg. 3 and pg. 14
- Appendix 15 *CHCORG406C- Assessment Resource Summary* pg. 3 and pg. 14
- Appendix 12 *CHCPA301B- Assessment Resource Summary* pg. 3, 20,21
- Appendix 11 *BSBADM506B- Assessment Resource Summary* pg. 4 and pgl3
- Appendix 10 *BSBADV507B- Assessment Resource Summary* pg. 5 and pgl3
- Appendix 8 *SIBBFAS40SA Assessment Resource Summary* pgs. 3,5,9, 16, 20, 23, 29-45
- Appendix 9 *SIBBCCS405A Assessment Resource Summary* pgs. 3,5,6,8
- Appendix 5 Policy 20
- THA has removed *BSB60407 Advanced Diploma of Management* from its scope of registration

The RTO has submitted evidence that meets the above reported non compliance.

- 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:**
- when assessment validation will occur;
 - which training products will be the focus of the validation;
 - who will lead and participate in validation activities; and
 - 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
- Who will lead and participate in validation activities
- How the validation outcomes will be documented and acted upon

The plan for validation has been implemented

- 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
- At least 50% of training products will be validated in the first three years of the above cycle
- Relative risk of all training products are taken into account in scheduling validation
- Training products identified as high risk by ASQA are taken into account in scheduling validation

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

- 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:**
- vocational competencies and current industry skills relevant to the assessment being validated;
 - current knowledge and skills in vocational teaching and learning; and
 - the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.

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

Original finding: Compliant	Following rectification: n/a	
Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product. If no, clause is not audited. If yes:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Validation of assessment has been undertaken by one or more persons who, collectively, hold:		
<ul style="list-style-type: none"> Relevant vocational competencies and current industry skills Current knowledge and skills in VET teaching and learning 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"/>

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"/>

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	Y	N
Skills and knowledge of trainers and assessors have been verified	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Alison Wright

Trainer/assessor of following training products within scope of audit:

HLT61012 Advanced Diploma of Nutritional Medicine

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Rajwinder Kaur Saggal

Trainer/assessor of following training products within scope of audit:

CHC30212 Certificate III in Aged Care



Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Tinu Philip

Trainer/assessor of following training products within scope of audit:

CHC 40212 Certificate IV in Aged Care

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Ayush Gautam

Trainer/assessor of following training products within scope of audit:

BSB60407

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Virender Sharma

Trainer/assessor of following training products within scope of audit:

BSB50207 Diploma of Business

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Jill McKeever

Trainer/assessor of following training products within scope of audit:

HLTFA311A

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Karena Tonkin

Trainer/assessor of following training products within scope of audit:

HLT61012 Advanced Diploma of Nutritional Medicine

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Harjit Singh

Trainer/assessor of following training products within scope of audit:

BSB50207 Diploma of Business

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Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

All trainers listed in 1.13

Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<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"/>

1.15 Where a person conducts assessment only, the RTO ensures that the person has:
a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
b) ~~from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.~~

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

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

Assessor name

Each assessor (that conducts assessment only) must meet at least one of the following six 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"/>
• 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"/>

• TAESS00001 Assessor skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00001 Assessor skill set	<input type="checkbox"/>	<input type="checkbox"/>
Each assessor (that conducts assessment only) must meet all of the following requirements:		
• Vocational competencies at least to the level being delivered (actual qualification/unit not required)	<input type="checkbox"/>	<input type="checkbox"/>
• Current relevant industry skills	<input type="checkbox"/>	<input type="checkbox"/>
• Current vocational training and learning knowledge and skills	<input type="checkbox"/>	<input type="checkbox"/>

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

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

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

- holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- has vocational competencies at least to the level being delivered and assessed; and
- 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

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

Trainer name



Each trainer (that conducts training under supervision) must meet at least one of the following six requirements:		
• TAESS00003 Enterprise trainer and assessor skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00003	<input type="checkbox"/>	<input type="checkbox"/>
• TAESS00007 Enterprise trainer – presenting skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00007	<input type="checkbox"/>	<input type="checkbox"/>
• TAESS00008 Enterprise trainer – mentoring skill set or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAESS00008	<input type="checkbox"/>	<input type="checkbox"/>
Each trainer (that conducts training under supervision) must meet all of the following requirements:		
• Vocational competencies at least to the level being delivered (actual qualification/unit not required)	<input type="checkbox"/>	<input type="checkbox"/>
• Current relevant industry skills	<input type="checkbox"/>	<input type="checkbox"/>

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"/>

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"/>

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
TAE training product/s are included in the audit scope If no, clause is not audited. If yes:	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Trainer/assessor name		
Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50111 Diploma of Vocational Education and Training or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE50111	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50211 Diploma of Training Design and Development or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE50211	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Trainer/assessor name		
Each trainer/assessor that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:		
• Hold a TAE training product at least to the level being delivered	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to the above	<input type="checkbox"/>	<input type="checkbox"/>

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

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

- 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

- 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

- 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"/>	<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

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency

If no, clause is not audited. If yes:

The superseded unit of competency has continued to be delivered as required by training product packaging rules

Standard 2. The operations of the RTO are quality assured.

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

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

Reasons for finding of non-compliance:

- The RTO is not compliant with Clauses 1,2 and 5.

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

- Address the non compliances stated at clauses 1, 2 and 5.

Analysis of rectification evidence:

- As per evidence attached for clauses 1,2,5
- The RTO has submitted evidence that demonstrates compliance with clauses 1,2 and 5.

2.2 The RTO:

- systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and**
- 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: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

Training and assessment strategies and practices are systematically monitored, including



evaluation of:

- AVETMISS data
- Quality indicator data
- Validation outcomes
- Client feedback
- Trainer and assessor feedback
- Complaints and appeals

Outcomes of monitoring have informed improvement activities

Reasons for finding of non-compliance:

- Assessment practices do not meet the requirements of the training package as detailed in clauses 1.4 and 1.8

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

- Identify the root cause as to why the systematic monitoring of training and assessment practices has not identified the above-mentioned non compliances and explain what will be done to address it.

Analysis of rectification evidence:

- The Moderation and Validation schedule for 2015 was to commence In the month of April. Therefore the non compliances were not detected. Continuous Improvement has been addressed and Moderation will be undertaken at the completion of each unit of competency
- Appendix 6 Policy 24
- Appendix 7 Policy 25
- Furthermore THA will appoint an independent external auditor to conduct quality assurance checks to ensure that processes that have been implemented meet the Standards for RTOs 2015.
- The RTO has submitted evidence that demonstrates compliance with the 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"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>	

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

The above strategies have been implemented

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

**Standard 3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.
To be compliant with Standard 3 the RTO must meet the following:**

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

Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation

Y N

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

AQF certification documentation:

- Complies with the AQF Qualifications Issuance Policy
- Complies with the requirements of Schedule 5 to these Standards
- A register of all qualifications issued is maintained

Y N

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

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

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

Y N

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

Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years

Y N

The above records are accessible to current and past learners

- 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

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)

Y **N**

- 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

Student Identifiers are verified before being used

Y **N** **N/A**

AQF certification document is not issued to an individual without a verified Student Identifier, unless an exemption applies

Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system

Security of Student Identifiers and related records is ensured

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:**

- 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 training.gov.au	<input checked="" type="checkbox"/>	<input 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
 - Includes details about relevant government funding subsidies
- Does not guarantee that a learner:
- will successfully complete a training product
 - can complete a training product in a manner not compliant with Clauses 1.1 or 1.2
 - will obtain a particular employment outcome unless this is in the control of the RTO

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

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: Not compliant

Following rectification: Compliant

Evidence guidance

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

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

Reasons for finding of non-compliance:

- The Language Literacy and Numeracy test issued to students undertaking the BSB50207 Diploma of Business was different to the test initially supplied to auditors at audit. The test taken by the students did not collect enough evidence to make a determination on their suitability to undertake a diploma level course.
- For BSB50207, the information collected by the RTO prior to enrolment did not ascertain the prospective student's existing skills and competencies in relation to the course being offered.

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

- Explain how student's existing skills and competencies in relation to courses being offered are determined to ensure that they receive training appropriate to their needs.

Analysis of rectification evidence:

- THA has provided a sample of the implemented new versions of the pre-training review and LLN which is encompassed In our enrolment process.
- Appendix 22 Implemented Enrolment Process
- Appendix 18 Pre training review
- Appendix 19 Re assessed LLN
- The RTO provided evidence that demonstrates compliance with the clause.

5.2 Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• Code and title of the training product as per 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Any entry requirements | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Any materials and equipment the learner must provide | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

- 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:**
- all relevant fee information including:**
 - fees that must be paid to the RTO; and
 - payment terms and conditions including deposits and refunds;
 - the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;**
 - the learner's right to obtain a refund for services not provided by the RTO in the event the:**
 - arrangement is terminated early; or
 - 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"/>

- 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:

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

The RTO is an employer or volunteer organisation and:

- 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
- RTO staff
- Learners
- Third parties

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)

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:
 - Informing those involved of the allegations
 - Providing those involved an opportunity to present their side of the matter
 - Operating in a fair and unbiased way

- Are publicly available
- Include a procedure for submitting a complaint or appeal
- Ensure complaints and appeals are acknowledged in writing
- Ensure complaints and appeals are finalised as soon as practicable
- Provide for review of complaints and appeals by an independent party

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

- a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- b) regularly updates the complainant or appellant on the progress of the matter.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Where more than 60 calendar days have been required to process a complaint or appeal:

- The complainant or appellant is advised in writing of the reasons
- The complainant or appellant is regularly updated in writing

6.5 The RTO:

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Secure records are maintained of all complaints and appeals and their outcomes

Potential cause of complaints and appeals are identified and corrective action taken

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

An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.

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

ASQA

3. Any other fee protection measure approved by ASQA

Reasons for finding of non-compliance:

- The RTO did not provide evidence that its current membership of ACPET's Tuition Assurance Scheme (ASTAS) approved by ASQA covered all its qualifications

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

- The RTO is to provide evidence that its current membership of ASTAS approved by ASQA covers all its qualifications

Analysis of rectification evidence:

- Appendix 20 - ASTAS

Reasons for outstanding non-compliance:

- Not applicable at this time

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Public liability insurance is in place that:

- Provides coverage for the RTO
- Covers training and assessment activities

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:

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
- In the conduct of audits and the monitoring of its operations
- By providing quality/performance indicator data
- 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
- In the retention, archiving, retrieval and transfer of records

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

-
- 8.2 The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:**
- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
 - b) in the conduct of audits and the monitoring of its operations.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

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

If no, clause is not audited. If yes:

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

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

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

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

