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

ORGANISATION DETAILS

<table>
<thead>
<tr>
<th>Organisation’s legal name:</th>
<th>Rae-Anne McMahon</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trading name/s:</td>
<td>Gold Coast Training College</td>
</tr>
<tr>
<td>RTO number:</td>
<td>40816</td>
</tr>
<tr>
<td>CRICOS number:</td>
<td>N/A</td>
</tr>
</tbody>
</table>

AUDIT TEAM

<table>
<thead>
<tr>
<th>Lead auditor:</th>
<th>Judith Keller</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant/s:</td>
<td>Jen Adlington</td>
</tr>
<tr>
<td>Technical advisor/s:</td>
<td>N/A</td>
</tr>
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</table>

AUDIT DETAILS

<table>
<thead>
<tr>
<th>Application number/s:</th>
<th>1084543</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit number/s:</td>
<td>1008888</td>
</tr>
<tr>
<td>Audit reason 1:</td>
<td>Application - change</td>
</tr>
<tr>
<td>Audit reason 2:</td>
<td>n/a</td>
</tr>
<tr>
<td>Audit reason 3:</td>
<td>n/a</td>
</tr>
<tr>
<td>Activity type:</td>
<td>Site visit</td>
</tr>
<tr>
<td>Address of site/s visited:</td>
<td>55 Nerang Street, Southport QLD 4215</td>
</tr>
<tr>
<td>Date/s of audit:</td>
<td>5 January 2016</td>
</tr>
<tr>
<td>Organisation’s contact for audit:</td>
<td>Ms Rae-Anne McMahon CEO 07 5528 3591</td>
</tr>
<tr>
<td>Clauses audited:</td>
<td>1.1, 1.2, 1.3, 1.4, 1.5, 1.8, 1.13, 1.14 &amp; 1.16 (Clauses 1.15, 1.17–1.20, 2.3 and 8.2 were not audited as not relevant to the RTO’s proposed operations in respect of it change of scope application).</td>
</tr>
</tbody>
</table>

BACKGROUND

Rae-anne McMahon, trading as Gold Cost Training College, attained initial registration as a registered training organisation on 22 December 2013. The organisation underwent a post-initial registration audit in February 2015.

The RTO’s current scope of registration includes 23 qualifications, comprising 18 active and superseded qualifications from Certificate I to Diploma level from the BSB and BSB07 Training Packages, four qualifications in security operations and risk management Certificate II to Certificate IV level from the CPP07 Property Services Training Package, and TAE40110 Certificate IV in Training and Assessment. Six explicit units of competency are also listed on the RTO’s current scope of registration, including four
first aid units of competency from the HLT Health Training Package, and units CPCCOHS1001A Work safely in the construction industry and SITHFAB201 Provide responsible service of alcohol.

The current audit sampled qualifications from the Rae-anne McMahon’s recent application to add 18 training products to the RTO’s scope of registration.

The change of scope application included two certificate qualifications from accredited courses in core skills for employment and training, and justice studies, one qualification from the AHC10 Agriculture, Horticulture and Conservation and Land Management Training Package, 10 qualifications from the BSB Business Services Training Package, one qualification from the CHC Community Services Training Package, two qualifications from the FNS Financial Services Training Package, one qualification from the SIT12 Tourism, Travel and Hospitality Training Package, and one explicit scope unit from the HLT Health Training Package.

Prior to the audit, the organisation advised the auditor in writing that it wished to withdraw from its application the CHC, FNS and SIT qualifications and the explicit scope unit of competency. Consequently, these training products were not considered as part of the audit sample. Further amendments were made to the application on the date of the site audit in relation to the intended delivery locations for three training products, with confirmation provided in writing to the auditor.

The imminent availability of Queensland Government funding, combined with expressions of interest in a broader scope of training from existing clients, employers, schools, employment agencies and other stakeholders, have provided the impetus for the RTO to extend its scope of registration. For a number of qualifications included in the audit sample, the RTO provided multiple, documented training and assessment strategies reflecting the different learner groups to be targeted - new entrants and existing workers.

For the delivery of AHC21210 Certificate II in Rural Operations, the organisation will leverage existing community relationships established by another RTO, Community Learning Place Australia, to access target learners in remote Indigenous communities in Queensland. However, it is noted that the proposed arrangements, as outlined by the organisation at audit, do not represent a third party arrangement as defined by the Standards for Registered Training Organisations 2015.

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

- 112

<table>
<thead>
<tr>
<th>Code</th>
<th>Training products</th>
<th>Mode/s of delivery / assessment*</th>
<th>Current enrolments</th>
</tr>
</thead>
<tbody>
<tr>
<td>39282QLD</td>
<td>Certificate I in Core Skills for Employment and Training - Communication</td>
<td>Face to face</td>
<td>N/A</td>
</tr>
<tr>
<td>39292QLD</td>
<td>Certificate IV in Justice Studies</td>
<td>Face to face, online, distance, mixed</td>
<td>N/A</td>
</tr>
<tr>
<td>AHC21210</td>
<td>Certificate II in Rural Operations</td>
<td>Face to face, workplace</td>
<td>N/A</td>
</tr>
<tr>
<td>BSB30215</td>
<td>Certificate III in Customer Engagement</td>
<td>Online</td>
<td>N/A</td>
</tr>
<tr>
<td>BSB30315</td>
<td>Certificate III in Micro Business Operations</td>
<td>Online</td>
<td>N/A</td>
</tr>
<tr>
<td>BSB31015</td>
<td>Certificate III in Business Administration (Legal)</td>
<td>Online</td>
<td>N/A</td>
</tr>
</tbody>
</table>
BSB42015 Certificate IV in Leadership and Management Online N/A
BSB50615 Diploma of Human Resources Management Online N/A
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Training products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rae-anne McMahon</td>
<td>CEO</td>
<td>39292QLD, BSB42015</td>
</tr>
<tr>
<td>Sonya Rice</td>
<td>Partner in remote communities</td>
<td>N/A</td>
</tr>
</tbody>
</table>

ORIGINAL FINDING AT TIME OF AUDIT

Audit finding: Significant non-compliance
Report completed by: Judith Keller & Jen Adlington
Date: 20/01/2016
- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 15/02/2016: n/a
Report completed by: Judith Keller
Date: 19/02/2016

AUDIT FINDING BY STANDARD

<table>
<thead>
<tr>
<th>Standard</th>
<th>Original finding</th>
<th>Finding following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard 1</td>
<td>Not compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>Standard 2</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 3</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 4</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 5</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 6</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 7</td>
<td>Not audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 8</td>
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ABOUT THIS REPORT
This report details findings against the Standards for Registered Training Organisations 2015.
The evidence guidance included against each clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.

Where evidence of non-compliance is identified, the ‘Reasons for finding of non-compliance’ section of the report will document the issues that were considered in the formulation of a finding of non-compliance.
STANDARD 1  The RTO’s training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.
To be compliant with Standard 1 the RTO must meet the following:

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

Original finding: Not compliant  Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>A training and assessment strategy (or strategies) was provided for each training product sampled</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Each strategy is consistent with the requirements of the training product</td>
<td></td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>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</td>
<td>☐</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product</td>
<td>☐</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>Each strategy has been consistently implemented</td>
<td></td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

39282QLD Certificate I in Core Skills for Employment and Training - Communication
- The documented training and assessment strategy provided by the organisation for 39282QLD Certificate I in Core Skills for Employment and Training – Communication contained several unit codes that were inconsistent with the accredited course specifications for the qualification.
- Additionally, the human resource requirements outlined in the organisation’s documented training and assessment strategy did not include all of the requirements specified in the accredited course documentation for the qualification.
- The organisation provided a revised, documented training and assessment strategy for 39282QLD Certificate I in Core Skills for Employment and Training – Communication at audit, prior to issuance of the audit report. Review of the revised strategy document confirmed that it contained correct unit codes consistent with the accredited course specifications for the qualification and included details of all relevant human resource requirements, including the requirements specified in the accredited course documentation for the qualification. No further evidence is required.

AHC21210 Certificate II in Rural Operations
- The documented training and assessment strategy provided by the organisation for AHC21210 Certificate II in Rural Operations contained a unit code that was inconsistent with the training package specifications.
- The organisation provided a revised, documented training and assessment strategy for AHC21210 Certificate II in Rural Operations at audit, prior to issuance of the audit report. Review of the revised strategy document confirmed that the unit code had been corrected and was consistent with training package specifications. No further evidence is required.
BSB30215 Certificate III in Customer Engagement

- The organisation’s documented training and assessment strategies for the above qualification contained unit information that is not consistent the BSB Business Services Training Package. Specifically, the titles for units BSBCUE307 and BSBMGT402 did not accurately match those specified in the BSB Business Services Training Package for the units.
- Additionally, the documented training and assessment strategies did not articulate a clear and accurate framework to guide the training and assessment arrangements for the training product. For example:
  - The strategy documents identified the location of training facilities as 55 Nerang Street, Southport. This is confusing as it suggests that training will occur at this location, when the planned mode of training delivery is online only.
  - The assessment methods identified in the strategy documents such as ‘Workbooks (online)’ and ‘Practical Testing (online where applicable)’ are not consistent with the methods of assessment to be used for the summative assessment for units of competency sampled at audit from the qualification (see Clause 1.8).
  - In the strategy document for Learner Group 2 the identified delivery modes are ‘Online’, ‘Combination (supervised instruction and activities and unsupervised activities, projects and study in mixed mode)’ and RPL. However the ‘combination’ mode of delivery is not consistent with the assessment materials that the organisation plans to use in an ‘online only’ delivery environment.

BSB30315 Certificate III in Micro Business Operations

BSB31015 Certificate III in Business Administration (Legal)

BSB42015 Certificate IV in Leadership & Management

BSB50615 Diploma of Human Resources Management

- The documented training and assessment strategies provided by the organisation for each of the above qualifications did not articulate a clear and accurate framework to guide the training and assessment arrangements for the training products. For example:
  - The strategy documents identify the location of training facilities as 55 Nerang Street, Southport QLD 4215. This is confusing as it suggests that training will occur at this location, when the planned mode of training delivery is online only.
  - The assessment methods identified in the strategy documents such as ‘Workbooks (online)’ and ‘Practical Testing (online where applicable)’ are not consistent with the methods of assessment to be used for the summative assessment for units of competency sampled at audit from the qualification (see Clause 1.8).

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

BSB30215 Certificate III in Customer Engagement

- Provide revised training and assessment strategies for BSB30215 Certificate III in Customer Engagement that:
  - contain unit information that is consistent with the specifications contained in the BSB Business Services Training Package; and
  - provide a clear and accurate framework to guide the training and assessment arrangements for the training product, consistent with the planned mode of delivery.

BSB30315 Certificate III in Micro Business Operations

BSB31015 Certificate III in Business Administration (Legal)

BSB42015 Certificate IV in Leadership & Management

BSB50615 Diploma of Human Resources Management
For each of the above qualifications provide revised training and assessment strategies that provide a clear and accurate framework to guide the training and assessment arrangements for the training product, consistent with the planned mode of delivery.

Analysis of rectification evidence:

**BSB30215 Certificate III in Customer Engagement**
- The organisation submitted a written request to withdraw the above qualification from application 1084543; consequently no rectification evidence was provided.

**BSB30315 Certificate III in Micro Business Operations**
- Evidence provided:
  - Training and assessment strategy V4 – Learner Group 1 New Entrant
  - Training and assessment strategy V4 – Learner Group 2 Existing Workers
  - New policy for online delivery Feb 2016.
- Review and analysis of the organisation’s revised training strategies for the above qualification confirmed that they provide a clear and accurate framework to guide the training and assessment arrangements for each learner cohort for BSB30315 Certificate III in Micro Business Operations, consistent with the planned mode of delivery.

**BSB31015 Certificate III in Business Administration (Legal)**
- Evidence provided:
  - Training and assessment strategy V4 – Learner Group 1 Learners moving into Cert IV Justice
  - Training and assessment strategy V4 – Learner Group 2 Existing Workers
  - New policy for online delivery Feb 2016.
- Review and analysis of the organisation’s revised training strategies for the above qualification confirmed that they provide a clear and accurate framework to guide the training and assessment arrangements for each learner cohort for BSB31015 Certificate III in Business Administration (Legal), consistent with the planned mode of delivery.

**BSB42015 Certificate IV in Leadership & Management**
- Evidence provided:
  - Training and assessment strategy V3 – Group 1 Learner New Supervisor
  - Training and assessment strategy V3 – Group 2 Learner Experienced Manager
  - New policy for online delivery Feb 2016.
- Review and analysis of the organisation’s revised training strategies for the above qualification confirmed that they provide a clear and accurate framework to guide the training and assessment arrangements for each learner cohort for BSB42015 Certificate IV in Leadership & Management, consistent with the planned mode of delivery.

**BSB50615 Diploma of Human Resources Management**
- Evidence provided:
  - Training and assessment strategy V3 – Group 1 New Entrant
  - Training and assessment strategy V3 – Group 2 Experienced HR Professional
  - New policy for online delivery Feb 2016.
- Review and analysis of the organisation’s revised training strategies for the above qualification confirmed that they provide a clear and accurate framework to guide the training and assessment arrangements for each learner cohort for BSB50615 Diploma of Human Resources Management, consistent with the planned mode of delivery.
arrangements for each learner cohort for BSB50615 Diploma of Human Resources Management, consistent with the planned mode of delivery.

- The rectification evidence provided supports compliance with the requirements of Clause 1.1. No further evidence is required.

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

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the existing skills, knowledge and experience of learners</td>
<td>✗</td>
<td>✓</td>
</tr>
<tr>
<td>• the mode/s of delivery</td>
<td>✗</td>
<td>✓</td>
</tr>
<tr>
<td>• the number of units and/or modules being delivered</td>
<td>✗</td>
<td>✓</td>
</tr>
</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
</table>

**Evidence guidance**

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>For all training products sampled, there are sufficient:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• trainers and assessors</td>
<td>✗</td>
<td>✓</td>
</tr>
<tr>
<td>• educational and support services to meet the needs of learners</td>
<td>✗</td>
<td>✓</td>
</tr>
<tr>
<td>• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners</td>
<td>✗</td>
<td>✓</td>
</tr>
<tr>
<td>• facilities and equipment to accommodate the number of learners</td>
<td>✗</td>
<td>✓</td>
</tr>
</tbody>
</table>

**Consistency is evident between each strategy and the above resources**

**Reasons for finding of non-compliance:**

39292QLD Certificate IV in Justice
• The organisation was unable to evidence at audit that it has
  o at least one trainer/assessor for the above qualification who satisfies all of the requirements of both Clauses 1.13 and 1.14 of the Standards to deliver training and assessment; and
  o access to learning resources that will enable learners to meet the requirements for each unit of competency that it intends to offer for 39292QLD Certificate IV in Justice.

BSB30215 Certificate III in Customer Engagement
BSB31015 Certificate III in Business Administration (Legal)
BSB42015 Certificate IV in Leadership and Management
BSB50615 Diploma of Human Resources Management

• For each of the above qualifications, the organisation was unable to evidence at audit that it has at least one trainer/assessor who satisfies all of the requirements of both Clause 1.13 and 1.14 of the Standards to deliver training and assessment.

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

39292QLD Certificate IV in Justice

• Provide evidence that the RTO has:
  o at least one nominated trainer/assessor for the above qualification who satisfies all of the requirements of both Clauses 1.13 and 1.14 of the Standards to deliver training and assessment; and
  o access to learning resources that will enable learners to meet the requirements for each unit of competency that it intends to offer for 39292QLD Certificate IV in Justice.

BSB30215 Certificate III in Customer Engagement
BSB31015 Certificate III in Business Administration (Legal)
BSB42015 Certificate IV in Leadership and Management
BSB50615 Diploma of Human Resources Management

• Provide evidence to demonstrate that for each of the above qualifications, the organisation has at least one nominated trainer/assessor who satisfies all of the requirements of both Clause 1.13 and 1.14 of the Standards to deliver training assessment.

Analysis of rectification evidence:

39292QLD Certificate IV in Justice

• Evidence provided:
  o Written advice that the organisation has nominated an alternative trainer/assessor for the above training product and copies of the trainer/assessor's credentials
  o Photographs of learning materials
  o Assessment materials for sampled units of competency.

• The evidence supports that the RTO has:
  o at least one trainer/assessor for the above qualification who satisfies all of the requirements of both Clauses 1.13 and 1.14 of the Standards to deliver training and assessment; and
  o access to learning resources to enable learners to meet the requirements for the units of competency that it intends to offer for 39292QLD Certificate IV in Justice.

BSB30215 Certificate III in Customer Engagement
• The organisation submitted a written request to withdraw the above qualification from application 1084543; consequently no rectification evidence was provided in respect of Clause 1.3.

BSB31015 Certificate III in Business Administration (Legal)
BSB42015 Certificate IV in Leadership and Management
BSB50615 Diploma of Human Resources Management

• The organisation provided evidence to demonstrate that for each of the above qualifications it has at least one trainer/assessor who satisfies all of the requirements of both Clause 1.13 and 1.14 of the Standards to deliver training and assessment.

• The rectification evidence provided supports compliance with the requirements of Clause 1.3. No further evidence is required.

<table>
<thead>
<tr>
<th>Clause 1.4</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO meets all requirements specified in the relevant training package or VET accredited course.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Original finding: Not compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td>Training and assessment strategies and resources are consistent with the requirements of each training product sampled</td>
<td></td>
</tr>
<tr>
<td>Training and assessment practices are consistent with the requirements of each training product sampled</td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

39282QLD Certificate I in Core Skills for Employment and Training – Communication

• For the above training product the RTO did not demonstrate that its documented training and assessment strategies are consistent with accredited course - see Clause 1.1 for further details (rectified at audit).

• The evidence did not demonstrate that the RTO's assessment strategy and resources for one of the sampled units of competency from the above training product meets all of the requirements specified in Section 6 Assessment of the accredited course documentation, in particular the requirement for 'reliability' in assessment - see Clause 1.8 for further details.

• The RTO was unable to evidence that one of its nominated trainers/assessors for 39282QLD Certificate I in Core Skills for Employment and Training – Communication, Marina Swan, holds the credentials and demonstrates the competencies specified in Section 7.2 Resources of the accredited course documentation for the above training product. See also Clause 1.13 and 1.14.

39292QLD Certificate IV in Justice

• The RTO was unable to evidence at audit that it has access to training and learning resources for delivery of each unit of competency that it intends to offer for 39292QLD Certificate IV in Justice - see Clause 1.3. Additionally, the RTO was unable to evidence that its nominated trainers/assessors for the above qualification satisfy all of the requirements of the Standards for trainers and assessors - see Clause 1.13. Therefore, it could not be confirmed that the RTO has the necessary training resources as specified in Section 7.2 Resources of the accredited course documentation for the training product.
• The RTO was unable to provide assessment resources at audit for one of the sampled units of competency from the above training product. Therefore, it could not be confirmed that the RTO’s assessment strategy would meet all of the requirements specified in Section 6 Assessment of the accredited course documentation. Additionally, as no assessment resources were able to be provided for the sampled unit, it could not be confirmed that the RTO’s assessment resources would meet all unit-specific assessment requirements specified in the accredited course documentation for the unit. See Clause 1.8 for further details.

AHC21210 Certificate II in Rural Operations

• For the above training product the RTO did not demonstrate that its documented training and assessment strategies are consistent with the specifications contained in the AHC10 Training Package - see Clause 1.1 for further details (rectified at audit).

• As noted with reference to Clause 1.8, the evidence provided at audit did not support that the organisation’s assessment strategies and resources for the above qualification are consistent with the assessment requirements specified in the AHC10 Training Package for all sampled units. See Clause 1.8 for further information.

BSB30215 Certificate III in Customer Engagement

• For the above training product the RTO did not demonstrate that its documented training and assessment strategies are consistent with the specifications contained in the BSB Training Package - see Clause 1.1 for further details.

• Additionally, the RTO was unable to evidence that its nominated trainer/assessor for the above qualification satisfies all of the NVR assessor requirements - see Clauses 1.13 & 1.14 - being a resource requirement (assessment condition) specified in the BSB Business Services Training Package for sampled units from the qualification.

• As noted with reference to Clause 1.8, the evidence provided at audit did not support that the organisation’s assessment strategies and resources for the above qualifications are consistent with the assessment requirements specified in the BSB Business Services Training Package for all sampled units. See Clause 1.8 for further information.

BSB30315 Certificate III in Micro Business Operations

• As noted with reference to Clause 1.8, the evidence provided at audit did not support that the organisation’s assessment strategies and resources for the above qualifications are consistent with the assessment requirements specified in the BSB Business Services Training Package for all sampled units. See Clause 1.8 for further information.

BSB31015 Certificate III in Business Administration (Legal)

• The RTO was unable to evidence that its nominated trainer/assessor for the above qualification satisfies all of the NVR assessor requirements - see Clauses 1.13 & 1.14 - being a resource requirement (assessment condition) specified in the BSB Business Services Training Package for sampled units from the qualification.

• As noted with reference to Clause 1.8, the evidence provided at audit did not support that the organisation’s assessment strategies and resources for the above qualifications are consistent with the assessment requirements specified in the BSB Business Services Training Package for all sampled units. See Clause 1.8 for further information.

BSB42015 Certificate IV in Leadership and Management

• The RTO was unable to evidence that its nominated trainers/assessors for the above qualification satisfy all of the NVR assessor requirements - see Clause 1.13 - being a resource requirement (assessment condition) specified in the BSB Business Services Training Package for sampled units from the qualification.
As noted with reference to Clause 1.8, the evidence provided at audit did not support that the organisation’s assessment strategies and resources for the above qualifications are consistent with the assessment requirements specified in the BSB Business Services Training Package for all sampled units. See Clause 1.8 for further information.

**BSB50615 Diploma of Human Resources Management**
- The RTO was unable to evidence that its nominated trainer/assessor for the above qualification satisfies all of the NVR assessor requirements - see Clause 1.13 - being a resource requirement (assessment condition) specified in the BSB Business Services Training Package for sampled units from the qualification.
- As noted with reference to Clause 1.8, the evidence provided at audit did not support that the organisation’s assessment strategies and resources for the above qualifications are consistent with the assessment requirements specified in the BSB Business Services Training Package for all sampled units. See Clause 1.8 for further information.

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

**39282QLD Certificate I in Core Skills for Employment and Training – Communication**
- For the above qualification, provide evidence:
  - that satisfactorily rectifies the non-compliance identified in respect of Clauses 1.8, 1.13 & 1.14 of the Standards; and
  - that demonstrates that its nominated trainer/assessor, Marina Swan, holds the credentials and demonstrates the competencies specified in Section 7.2 Resources of the accredited course documentation for the above training product.

**39292QLD Certificate IV in Justice**
- For the above qualification, provide evidence:
  - that the organisation has access to the required resources as identified in Section 7.2 Resources of the accredited course documentation for the training product; and
  - that satisfactorily rectifies the non-compliance identified in respect of Clauses 1.8 and 1.13 of the Standards.

**AHC21210 Certificate II in Rural Operations**
**BSB30315 Certificate III in Micro Business Operations**
- For the above qualifications, provide evidence that satisfactorily rectifies the non-compliance identified in respect of Clauses 1.8 of the Standards.

**BSB30215 Certificate III in Customer Engagement**
- For the above qualification, provide evidence that satisfactorily rectifies the non-compliance identified in respect of Clauses 1.1, 1.8, 1.13 and 1.14 of the Standards.

**BSB31015 Certificate III in Business Administration (Legal)**
- For the above qualification, provide evidence that satisfactorily rectifies the non-compliance identified in respect of Clauses 1.8, 1.13 and 1.14 of the Standards.

**BSB42015 Certificate IV in Leadership and Management**
**BSB50615 Diploma of Human Resources Management**
- For the above qualification, provide evidence that satisfactorily rectifies the non-compliance identified in respect of Clauses 1.8 and 1.13 of the Standards.
Analysis of rectification evidence:

39282QLD Certificate I in Core Skills for Employment and Training – Communication

- The organisation provided evidence that satisfactorily rectified the non-compliance previously identified in respect of Clause 1.8, thereby demonstrating that the RTO’s assessment strategies for sampled units from the above training product meet all of the requirements specified in the accredited course for the training product.

- With reference to Clause 1.13 and 1.14, the organisation advised that one of the previously nominated trainer/assessors for the above training product, Marina Swan, will not be employed by the organisation and consequently no rectification evidence was provided. However, as the organisation had already nominated another trainer/assessor who holds the credentials and demonstrates the competencies specified in Section 7.2 Resources of the accredited course documentation for the above training product to deliver the qualification 39282QLD Certificate I in Core Skills for Employment and Training – Communication, the requirements of Clause 1.4 have been satisfied.

39292QLD Certificate IV in Justice

- The organisation provided evidence that it has access to the required resources - including a replacement trainer/assessor who satisfies the requirements of Clause 1.13 of the Standards - as identified in Section 7.2 Resources of the accredited course documentation for the training product.

- With reference to Clause 1.8, the RTO provided evidence that satisfactorily rectified the non-compliance previously identified in respect of Clause 1.8, thereby demonstrating that the RTO’s assessment strategies for sampled units from the above training product meet all of the requirements specified in the accredited course for the training product.

AHC21210 Certificate II in Rural Operations

- The organisation submitted a written request to withdraw the above qualification from application 1084543; consequently no rectification evidence was provided in respect of Clauses 1.8 and 1.4 for AHC21210 Certificate II in Rural Operations.

BSB30315 Certificate III in Micro Business Operations

- The organisation provided evidence that satisfactorily rectified the non-compliance previously identified in respect of Clause 1.8 for the above training product, thereby demonstrating that the RTO’s assessment strategies and resources are consistent with the requirements specified in the BSB Business Services Training Package.

BSB30215 Certificate III in Customer Engagement

- The organisation submitted a written request to withdraw the above qualification from application 1084543; consequently no rectification evidence was provided in respect of Clauses 1.8, 1.13, 1.14 and 1.4 for BSB30215 Certificate III in Customer Engagement.

BSB31015 Certificate III in Business Administration (Legal)

- The organisation provided evidence that satisfactorily rectified the non-compliance previously identified in respect of clauses 1.8, 1.13 and 1.14 for the above training product, thereby demonstrating that the RTO’s assessment strategies and resources are consistent with the requirements specified in the BSB Business Services Training Package.
BSB42015 Certificate IV in Leadership and Management
BSB50615 Diploma of Human Resources Management

- The organisation provided evidence that satisfactorily rectified the non-compliance previously identified in respect of clauses 1.8 and 1.13 for the above training products, thereby demonstrating that the RTO’s assessment strategies and resources are consistent with the requirements specified in the BSB Business Services Training Package.

- The rectification evidence provided supports compliance with the requirements of Clause 1.4. No further evidence is required.

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

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y N</td>
</tr>
<tr>
<td>Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies</td>
<td>□ □</td>
</tr>
</tbody>
</table>

**Clause 1.6**
**The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:**

- a) its training and assessment strategies, practices and resources;
- b) the current industry skills of its trainers and assessors.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y N N/A</td>
</tr>
<tr>
<td>A range of industry engagement strategies have been developed</td>
<td>□ □</td>
</tr>
<tr>
<td>Industry engagement strategies have been implemented</td>
<td>□ □</td>
</tr>
</tbody>
</table>

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 | □ □ |

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y N</td>
</tr>
<tr>
<td>Support needs of learners have been identified</td>
<td>□ □</td>
</tr>
</tbody>
</table>
Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product.

### Clause 1.8
The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and
- b) is conducted in accordance with the Principles of Assessment contained in Table 1.8.1 and the Rules of Evidence contained in Table 1.8.2.

#### Table 1.8.1 Principles of Assessment

<table>
<thead>
<tr>
<th>Principle</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fairness</td>
<td>The individual learner’s needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner’s needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</td>
</tr>
</tbody>
</table>
| Flexibility  | Assessment is flexible to the individual learner by:  
- reflecting the learner’s needs;  
- assessing competencies held by the learner no matter how or where they have been acquired; and  
- drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual. |
| Validity     | Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:  
- assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;  
- assessment of knowledge and skills is integrated with their practical application;  
- assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and  
- judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements. |
| Reliability  | Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment. |

#### Table 1.8.2 Rules of Evidence

<table>
<thead>
<tr>
<th>Rule of Evidence</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Validity</td>
<td>The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.</td>
</tr>
<tr>
<td>Sufficiency</td>
<td>The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner’s competency.</td>
</tr>
<tr>
<td>Authenticity</td>
<td>The assessor is assured that the evidence presented for assessment is the learner’s own work.</td>
</tr>
</tbody>
</table>
The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

**Original finding:** Not compliant  
**Following rectification:** Compliant

### Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

#### 39282QLD Certificate I in Core Skills for Employment and Training - Communication

QLD190PTA01A Formulate and review individual training plan  
QLD191WRT03A Write routine texts

- Assessment complies with the assessment requirements of the relevant training package or VET accredited course.
- Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

#### 39292QLD Certificate IV in Justice Studies

QLD594JUS02A Prepare documentation for court proceedings  
BSBRES401A Analyse and present research information

- Assessment complies with the assessment requirements of the relevant training package or VET accredited course.
- Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

#### AHC21210 Certificate II in Rural Operations

AHCCCHM201A Apply chemicals under supervision  
AHCPGD203A Prune shrubs and small trees

- Assessment complies with the assessment requirements of the relevant training package or VET accredited course.
- Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

#### BSB30215 Certificate III in Customer Engagement

BSBCUS301 Deliver and monitor a service to customers  
BSBITU307 Develop keyboard speed and accuracy

- Assessment complies with the assessment requirements of the relevant training package or VET accredited course.
- Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2
Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

**BSB30315 Certificate III in Micro Business Operations**  
BSBSMB302 Develop a micro business proposal  
BSBITU305 Conduct online transactions

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.  
Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

**BSB31015 Certificate III in Business Administration (Legal)**  
BSBLEG302 Carry out search of the public record  
BSBITU307 Develop keyboard skill and accuracy - see BSB30215

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.  
Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

**BSB42015 Certificate IV in Leadership and Management**  
BSBLDR402 Lead effective workplace relationships  
BSBMGT403 Implement continuous improvement

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.  
Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2

**BSB50615 Diploma of Human Resources Management**  
BSBHRM506 Manage recruitment, selection and induction processes  
BSBHRM507 Manage separation or termination

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.  
Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2
Reasons for finding of non-compliance:

39282QLD Certificate I in Core Skills for Employment and Training - Communication
QLD190PTA01A Formulate and review individual training plan
- Assessment consisted of:
  o A suite of written and oral assessment activities / tasks.
- Analysis of the evidence confirmed that the organisation’s assessment addressed the elements, performance criteria, required skills, required knowledge, critical aspect for assessment and evidence required to demonstrate competency in the above unit, as specified in the accredited course.
- However, it could not be ascertained how the organisation will ensure reliability in the assessment of candidate responses to the assessment tasks, as the assessment tools provided did not include criteria and/or guidance defining the required/acceptable responses to the assessment tasks. Consequently, it could not be confirmed that assessment will be conducted in accordance with the principles of assessment, particularly with regard to ensuring that evidence presented for assessment is consistently interpreted and that assessment results are comparable irrespective of the assessor conducting the assessment (ref: principle of reliability). As the accredited course documentation (Section 6 Assessment) requires that the principle of reliability be applied to all assessment the evidence did not demonstrate that the organisation’s assessment for 39282QLD Certificate I in Core Skills for Employment and Training - Communication will comply with the assessment requirements of the VET accredited course.

39292QLD Certificate IV in Justice Studies
QLD594JUS02A Prepare documentation for court proceedings
- Assessment consisted of:
  o No assessment tools were able to be provided by the organisation at audit for the above unit of competency.
- As no assessment tools were provided it could not be confirmed that for unit QLD594JUS02A Prepare documentation for court proceedings assessment will (a) comply with the assessment requirements of the VET accredited course, and (b) be conducted in accordance with the principles of assessment and rules of evidence.

AHC21210 Certificate II in Rural Operations
AHCCHM201A Apply chemicals under supervision
- Assessment consisted of:
  o Written questions
  o Practical assessment tasks / demonstration.
- Review of the assessment tools provided for unit AHCCHM201A Apply chemicals under supervision found that assessment does not collect evidence of all of the required skills specified in the AHC10 Agriculture, Horticulture and Conservation and Land Management training package for the unit, in particular, the required skill:
  - respond to emergencies and apply first aid in the event of pesticide poisoning.
- Furthermore, review of the practical assessment tools for the unit, found that they contained insufficient instructions for assessors about the assessment evidence required to be gathered during the assessment process and the criteria to be applied when evaluating a candidate’s performance on the practical assessment tasks. In many instances, the observation checklists for the practical assessment tasks simply consisted of a direct copy of the performance criteria for the unit, with no specific information / criteria for satisfactory performance on the tasks actually required to be demonstrated by candidates. For example, one of the items on the observation checklist for Assessment Task 4 was ‘Complete application records’ (being direct copy of performance criterion 4.4). However, there was no information / guidance about the specific requirements for satisfactory performance by candidates in the context of the actual assessment
task - for example, whether or not there is a specific form/s or record/s that candidates need to complete, the details that need to be recorded, etc.

- Hence, it could not be confirmed that assessment will be conducted in accordance with (i) the principles of assessment, particularly with regard to the ensuring the validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

**AHCPGD203A Prune shrubs and small trees**

- Assessment consisted of:
  - Written questions
  - Practical assessment tasks / demonstration.

- Review of the assessment tools provided for unit AHCPGD203A Prune shrubs and small trees found that assessment does not collect evidence of all of the required skills specified in the AHC10 Agriculture, Horticulture and Conservation and Land Management training package for the unit, in particular, the required skills:
  - participate in teams and contribute to team objectives
  - use numeracy skills to estimate, calculate and record routine workplace measures.

- Furthermore, review of the practical assessment tools for the unit, found that they contained insufficient instructions for assessors about the assessment evidence required to be gathered during the assessment process and the criteria to be applied when evaluating a candidate’s performance on the practical assessment tasks. In many instances, the observation checklists for the practical assessment tasks simply consisted of a direct copy of the performance criteria for the unit, with no specific information / criteria for satisfactory performance on the tasks actually required to be demonstrated by candidates. For example, one of the items on the practical observation checklist was ‘Correct manual handling techniques are used when lifting or moving heavy loads’ (being direct copy of performance criterion 2.4). However, there was no information / guidance about the specific requirements for satisfactory performance by candidates in the context of the actual assessment tasks - that is, the particular manual handling techniques to be demonstrated when lifting or moving loads in the context of the practical assessment tasks.

- Hence, it could not be confirmed that assessment will be conducted in accordance with (i) the principles of assessment, particularly with regard to the ensuring the validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

**BSB30215 Certificate III in Customer Engagement**

**BSBCUS301 Deliver and monitor a service to customers**

- Assessment materials included:
  - Purchased resource Small Print (online)
  - Assessment plan
  - Formative assessment
  - Summative Assessment 1: 4 questions
  - Summative Assessment 2: Project Write a short guide to customer service for the representative of the organisation (approx. 250–500 words)
  - Observation report
  - Third party evidence collection agreement
  - Third party evidence collection
  - Evidence summary sheet.
• Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/ organisation/ environment in which assessment will be conducted.

• Additionally, the evidence provided did not demonstrate:
  o clear and contextualised instructions to the assessor and for the student with regard to the assessment conditions, in particular, the requirement for access to examples of customer complaints and feedback
  o clear and accurate information / instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process - for example: “Answer requires a practical response and verification of the participant’s skills. Participants are not required to submit documents as they have not been shown how to print a document in this unit of study. However, the trainer/assessor can give instructions for saving and printing documents, if required.’

• Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

• Hence, it could not be confirmed from the evidence that assessment for unit BSBCUS301 Deliver and monitor a service to customers, will:
  o comply with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions; and
  o be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

BSB30215 Certificate III in Customer Engagement
BSB31015 Certificate III in Business Administration (Legal)
BSBITU307 Develop keyboard speed and accuracy

• Assessment material included:
  o Purchased resource Small Print (online)
  o Assessment plan
  o Formative assessment
  o Summative assessment 1: 2 questions
  o Observation report
  o Third party evidence collection agreement
  o Third party evidence collection
  o Evidence summary sheet.

• Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/ organisation/ environment in which assessment will be conducted.
Additionally the evidence provided did not demonstrate:

- clear and contextualised instructions to the assessor and for the student with regard to the assessment conditions, in particular, the training package requirements for access to industry software packages and that individuals must be assessed in accordance with the current version of AS 2708:2001 and issued a speed statement.
- clear and accurate information / instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process.

Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

Hence, it could not be confirmed from the evidence that assessment for unit BSBITU307 Develop keyboard speed and accuracy, will:

- comply with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions; and
- be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

BSB31015 Certificate III in Business Administration (Legal)

BSBLEG302 Carry out search of the public record

- Assessment material included:
  - Purchased resource Small Print (online)
  - Assessment plan
  - Formative assessment
  - Summative assessment 1: 8 questions
  - Summative assessment 2: Essay (300 - 400 words)
  - Observation report
  - Third party evidence collection agreement
  - Third party evidence collection
  - Evidence summary sheet.

Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery.

Additionally the evidence provided did not demonstrate:

- clear and contextualised instructions to the assessor and for the student with regard to the assessment conditions, in particular, the requirement for access to background information on courts, their jurisdiction and behavioural requirements and people with expert knowledge
- clear and accurate information / instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process.

Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.
Hence, it could not be confirmed from the evidence that assessment for unit *BSBLEG302 Carry out search of the public record* will:

- comply with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions; and
- be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

**BSB30315 Certificate III in Micro Business Operations**

*BSBSMB302 Develop a micro business proposal*

- Assessment material included:
  - Purchased resource Small Print (online)
  - Assessment plan
  - Formative assessment
  - Summative assessment 1: 4 questions
  - Summative assessment 2: Project Prepare an overview of the proposed business and SWOT analysis. Present information (1,500–3,000 words)
  - Observation report
  - Third party evidence collection agreement
  - Third party evidence collection
  - Evidence summary sheet.

- Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/organisation/environment in which assessment will be conducted.

- Additionally the evidence provided did not demonstrate:
  - clear and contextualised instructions to the assessor and for the student with regard to the assessment conditions, in particular, the requirement for access to resources for analysis of data
  - clear and accurate information/instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process
  - that assessment will gather all of the required performance evidence for the unit, in particular, *personal skills analysis against required skills*.

- Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

- Hence, it could not be confirmed from the evidence that assessment for unit *BSBSMB302 Develop a micro business proposal* will:
  - comply with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions and performance evidence requirements; and
  - be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), validity of the assessment evidence to
be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

**BSBITU305 Conduct online transactions**

- Assessment material included:
  - Purchased resource Small Print (online)
  - Assessment plan
  - Formative assessment
  - Summative assessment 1: 6 questions
  - Summative assessment 2: 4 projects
  - Observation report
  - Third party evidence collection agreement
  - Third party evidence collection
  - Evidence summary sheet.
- Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/organisation/environment in which assessment will be conducted.
- Additionally, the evidence provided did not demonstrate clear and accurate information/instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process.
- Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.
- Hence, it could not be confirmed from the evidence that assessment for unit **BSBITU305 Conduct online transactions** will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), the validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

**BSB42015 Certificate IV in Leadership and Management**

**BSBLDR402 Lead effective workplace relationships**

- Assessment material included:
  - Purchased resource Small Print (online)
  - Assessment plan
  - Formative assessment
  - Summative assessment 1: 8 questions
  - Summative assessment 2: Project - Essay (1,500–2,000 words), Project 2 - Report (1,000–1,200 words)
  - Observation report
  - Third party evidence collection agreement
  - Third party evidence collection
Evidence summary sheet.

- Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/organisation/environment in which assessment will be conducted.

- Additionally, the evidence provided did not demonstrate clear and accurate information/instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process.

- Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

- Hence, it could not be confirmed from the evidence that assessment for unit BSBLDR402 Lead effective workplace relationships will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), the validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

BSBMGT403 Implement continuous improvement

- Assessment material included:
  - Purchased resource Small Print (online)
  - Assessment plan
  - Formative assessment
  - Summative assessment 1: 4 questions
  - Summative assessment 2: Project - Essay (1,500–2,000 words), Project 2 - Report (1,000–1,200 words)
  - Observation report
  - Third party evidence collection agreement
  - Third party evidence collection
  - Evidence summary sheet.

- Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/organisation/environment in which assessment will be conducted.

- Additionally, the evidence provided did not demonstrate:
  - clear and accurate information/instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process
  - that assessment will gather all of the required performance evidence for the unit, in particular, evidence of the ability to communicate effectively to support the continuous improvement system and implementation of improvements, and apply continuous improvement to customer services including internal and external customers.

- Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the
assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

• Hence, it could not be confirmed from the evidence that assessment for unit BSBMGT403 Implement continuous improvement will:
  o comply with all of the assessment requirements specified in the BSB Business Services Training Package, in particular the performance evidence requirements; and
  o be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

BSB50615 Diploma of Human Resources Management
BSBHRM506 Manage recruitment, selection and induction processes

• Assessment material included:
  o Purchased resource Small Print (online)
  o Assessment plan
  o Summative assessment
  o Summative assessment 1: 6 questions
  o Summative assessment 2: Project 1 - Research and develop policies and procedures; Project 2 - Essay (2,000 words)
  o Observation report
  o Third party evidence collection agreement
  o Third party evidence collection
  o Evidence summary sheet.

• Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/organisation/ environment in which assessment will be conducted.

• Additionally the evidence provided did not demonstrate clear and accurate information / instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process.

• Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

• Hence, it could not be confirmed from the evidence that assessment for unit BSBHRM506 Manage recruitment, selection and induction processes will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), the validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will collected through the assessment process to support competency decisions for the unit.

BSBHRM507 Manage separation or termination

• Assessment material included:
Analysis of the observation report and third party evidence collection form found that they did not demonstrate that clear instructions are in place for the assessor and student about how observation and collection of evidence by a third party for assessment will be undertaken using an online system as the mode of delivery. Additionally, there was no evidence of contextualisation of the tasks to fit the industry/organisation/environment in which assessment will be conducted.

Additionally the evidence provided did not demonstrate:
- clear and accurate information/instructions about the evidence to be provided, for both the assessor/s and student, so as to ensure consistency of the assessment process
- that assessment will gather all of the required performance evidence for the unit, in particular, evidence of the ability to communicate effectively with employees to ensure they are aware of their rights and responsibilities.

Furthermore, tasks in the observation report checklist did not clearly articulate the performance level required, so as to ensure (i) that performance standards are consistent with the training package requirements for the unit, (ii) sufficient evidence will be gathered through the assessment process, and (iii) reliable assessment judgements across different learners and assessors and over time.

With reference to recognition of prior learning (RPL), the evidence provided did not demonstrate that the tools will combine to collect sufficient evidence of an individual candidate’s competence in performing all aspects of the unit of competency. There was insufficient rigor in the planned assessment process and in the reliability of the available assessment tools to ensure that evidence presented for assessment will be consistently interpreted and result in consistent assessment outcomes. For example, the instructions to the assessor stated “If sufficient evidence has been gathered and validated through third party reports that student may be marked competent. All trainer/contractors are to ensure that the RPL process is as robust and thorough as it was completed in a classroom environment.”

Hence, it could not be confirmed from the evidence that assessment (including RPL) for unit BSBHRM507 Manage separation or termination will:
- comply with all of the assessment requirements specified in the BSB Business Services Training Package; and
- be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process (ensuring that the learner is fully informed of the performance expectations prior to assessment), validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient, current and valid evidence will collected through the assessment process to support competency decisions for the unit.

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

39282QLD Certificate I in Core Skills for Employment and Training - Communication
QLD190PTA01A Formulate and review individual training plan
• Provide evidence that demonstrates that assessment for unit QLD190PTA01A Formulate and review individual training plan will be conducted in accordance with the principles of assessment, particularly with regard to ensuring reliability in the assessment of candidate responses to the assessment tasks for the unit and the determination of competency decisions.

39292QLD Certificate IV in Justice Studies
QLDS94JUS02A Prepare documentation for court proceedings
• Provide a full suite of assessment tools for unit of competency, QLD594JUS02A Prepare documentation for court proceedings. The assessment tools must demonstrate that the RTO will implement an assessment system that ensures that assessment (including recognition of prior learning) will:
  o comply with the assessment requirements of the VET accredited course for the unit; and
  o be conducted in accordance with the principles of assessment and rules of evidence.

AHC21210 Certificate II in Rural Operations
AHCCHM201A Apply chemicals under supervision
AHC PGD203A Prune shrubs and small trees
• Provide a full suite of assessment tools for each of the above units of competency. The assessment tools must demonstrate that the RTO will implement an assessment system that ensures that assessment (including recognition of prior learning) will:
  o comply with the assessment requirements of the AHC10 Training Package for the units; and
  o be conducted in accordance with the principles of assessment and rules of evidence.

BSB30215 Certificate III in Customer Engagement
BSBCUS301 Deliver and monitor a service to customers
BSB30215 Certificate III in Customer Engagement
BSB31015 Certificate III in Business Administration (Legal)
BSBITU307 Develop keyboard speed and accuracy
BSB31015 Certificate III in Business Administration (Legal)
BSBLEG302 Carry out search of the public record
BSB30315 Certificate III in Micro Business Operations
BSBSMB302 Develop a micro business proposal
BSBITU305 Conduct online transactions
BSB42015 Certificate IV in Leadership and Management
BSBLDR402 Lead effective workplace relationships
BSBMGT403 Implement continuous improvement
BSB50615 Diploma of Human Resources Management
BSBHRM506 Manage recruitment, selection and induction processes
• Provide a full suite of assessment tools for each of the above units of competency. The assessment tools must demonstrate that the RTO will implement an assessment system that ensures that assessment will:
  o comply with the assessment requirements of the BSB Business Training Package - including the performance evidence and knowledge evidence requirements, and all of the assessment conditions, for each unit; and
  o be conducted in accordance with the principles of assessment and rules of evidence.
BSB50615 Diploma of Human Resources Management

BSBHRM507 Manage separation or termination

- Provide a full suite of assessment tools - including RPL assessment tools - for the above unit of competency. The assessment tools must demonstrate that the RTO will implement an assessment system that ensures that assessment, including RPL, will:
  - comply with the assessment requirements of the BSB Business Training Package - including the performance evidence and knowledge evidence requirements, and all of the assessment conditions, for the unit; and
  - be conducted in accordance with the principles of assessment and rules of evidence.

Analysis of rectification evidence:

39282QLD Certificate I in Core Skills for Employment and Training - Communication

QLD190PTA01A Formulate and review individual training plan

- Evidence provided:
  - QLD190PTA01A Formulate and review individual training plan Benchmark Answer Book.
- Review of the evidence confirmed that the organisation has established assessment benchmarks for unit QLD190PTA01A Formulate and review individual training plan which will enable assessment to be conducted in accordance with the principles of assessment, particularly with regard to ensuring reliability in the assessment of candidate responses to the assessment tasks for the unit and in the determination of competency decisions.

39292QLD Certificate IV in Justice Studies

QLD594JUS02A Prepare documentation for court proceedings

- Evidence provided:
  - QLD594JUS02A Prepare documentation for court proceedings Assessment Book (Version 1, Jan2016).
  - QLD594JUS02A Prepare documentation for court proceedings Benchmark Answer Book (Version 1, Jan2016).
  - RPL Kit (V1), including answer key for third party evidence report.
- Assessment for the unit consists of:
  - 9 true/false statements
  - Cloze ('complete the missing word') statements
  - Short response tasks
  - Task requiring candidates to locate, download and complete specified documents from Queensland Courts website
  - Third party evidence report.
- Analysis of the evidence indicated that the RTO will implement an assessment system that ensures that assessment (including recognition of prior learning) will:
  - comply with the assessment requirements of the VET accredited course for the unit; and
  - be conducted in accordance with the principles of assessment and rules of evidence.

AHC21210 Certificate II in Rural Operations

AHCCHM201A Apply chemicals under supervision

AHCPGD203A Prune shrubs and small trees

- The organisation submitted a written request to withdraw AHC21210 Certificate II in Rural Operations from application 1084543; consequently no rectification evidence was provided in respect of the above two units of competency for the qualification.
BSB30215 Certificate III in Customer Engagement

*BSBCUS301 Deliver and monitor a service to customers*

*BSBITU307 Develop keyboard speed and accuracy*

- The organisation submitted a written request to withdraw BSB30215 Certificate III in Customer Engagement from application 1084543; consequently no rectification evidence was provided in respect of the above two units of competency for the qualification.

BSB31015 Certificate III in Business Administration (Legal)

*BSBITU307 Develop keyboard speed and accuracy*

- Evidence provided:
  - BSBITU307 Observation report
  - BSBITU307 Third party evidence report
  - BSBITU307 Third party evidence report answer key.

- Review and analysis of the organisation’s enhanced observation report and third party evidence assessment tools as additional to the summative assessment tools provided at audit for unit *BSBITU307 Develop keyboard speed and accuracy* confirmed that assessment:
  - complies with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions; and
  - will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process, validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

BSBLEG302 Carry out search of the public record

- Evidence provided:
  - BSBLEG302 Observation report
  - BSBLEG302 Third party evidence report
  - BSBLEG302 Third party evidence report answer key.

- Review and analysis of the organisation’s enhanced observation report and third party evidence assessment tools as additional to the summative assessment tools provided at audit for unit *BSBLEG302 Carry out search of the public record* confirmed that assessment:
  - complies with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions; and
  - will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process, validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

BSB30315 Certificate III in Micro Business Operations

*BSBSMB302 Develop a micro business proposal*

- Evidence provided:
  - BSBSMB302 Observation report
  - BSBSMB302 Third party evidence report
  - BSBSMB302 Third party evidence report answer key.
• Review and analysis of the organisation’s enhanced observation report and third party evidence assessment tools as additional to the summative assessment tools provided at audit for unit BSBMB302 Develop a micro business proposal confirmed that assessment:
  o complies with all of the assessment requirements specified in the BSB Business Services Training Package, in particular all of the assessment conditions and performance evidence requirements; and
  o will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring the fairness of the assessment process, validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

BSBITU305 Conduct online transactions

• Evidence provided:
  o BSBITU305 Observation report
  o BSBITU305 Third party evidence report
  o BSBITU305 Third party evidence report answer key.

• Review and analysis of the organisation’s enhanced observation report and third party evidence assessment tools as additional to the summative assessment tools provided at audit for unit BSBITU305 Conduct online transactions confirmed that assessment will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process, validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

BSB42015 Certificate IV in Leadership and Management

BSBLDR402 Lead effective workplace relationships

• Evidence provided:
  o BSBLDR402 Observation report
  o BSBLDR402 Third party evidence report
  o BSBLDR402 Third party evidence report answer key.

• Review and analysis of the organisation’s enhanced observation report and third party evidence assessment tools as additional to the summative assessment tools provided at audit for unit BSBLDR402 Lead effective workplace relationships confirmed that assessment will be conducted in accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of the assessment process, validity of the assessment evidence to be collected, and reliability in the formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to ensuring that sufficient and valid evidence will be collected through the assessment process to support competency decisions for the unit.

BSBMGT403 Implement continuous improvement

• Evidence provided:
  o BSBMGT403 Observation report
  o BSBMGT403 Third party evidence report
  o BSBMGT403 Third party evidence report answer key.

• Review and analysis of the organisation’s enhanced observation report and third party evidence assessment tools as additional to the summative assessment tools provided at audit for unit BSBMGT403 Implement continuous improvement confirmed that assessment will:
o comply with all of the assessment requirements specified in the BSB Business Services
Training Package, in particular the performance evidence requirements; and
o be conducted in accordance with (i) the principles of assessment, particularly with regard to
ensuring fairness of the assessment process, validity of the assessment evidence to be
collected, and reliability in the formation of assessment decisions; and (ii) the rules of
evidence, particularly with regard to ensuring that sufficient and valid evidence will be
collected through the assessment process to support competency decisions for the unit.

BSB50615 Diploma of Human Resources Management

BSBHRM506 Manage recruitment, selection and induction processes

- Evidence provided:
  o BSBHRM506 Observation report
  o BSBHRM506 Third party evidence report
  o BSBHRM506 Third party evidence report answer key.
- Review and analysis of the organisation’s enhanced observation report and third party evidence
  assessment tools as additional to the summative assessment tools provided at audit for unit
  BSBHRM506 Manage recruitment, selection and induction processes will be conducted in
  accordance with (i) the principles of assessment, particularly with regard to ensuring fairness of
  the assessment process, validity of the assessment evidence to be collected, and reliability in the
  formation of assessment decisions; and (ii) the rules of evidence, particularly with regard to
  ensuring that sufficient and valid evidence will be collected through the assessment process to
  support competency decisions for the unit.

BSB50615 Diploma of Human Resources Management

BSBHRM507 Manage separation or termination

- Evidence provided:
  o BSBHRM507 Manage separation or termination Observation Report
  o BSBHRM507 Third party evidence report
  o BSBHRM507 Third party evidence report answer key
  o Gold Coast Training College Online RPL Policy
  o Demonstration of equivalent competency and recognition of prior learning instructions.
- Review and analysis of the organisation’s revised assessment tools (including RPL) for unit
  BSBHRM507 Manage separation or termination confirmed that assessment will:
  o comply with all of the assessment requirements specified in the BSB Business Services
    Training Package; and
  o be conducted in accordance with (i) the principles of assessment, particularly with regard to
    ensuring fairness of the assessment process, validity of the assessment evidence to be
    collected, and reliability in the formation of assessment decisions; and (ii) the rules of
    evidence, particularly with regard to ensuring that sufficient, current and valid evidence will
    be collected through the assessment process to support competency decisions for the unit.

- The rectification evidence provided supports compliance with the requirements of Clause 1.8. No
  further evidence is required.

Clause 1.9
The RTO implements a plan for ongoing systematic validation of assessment practices and
judgements that includes for each training product on the RTO’s scope of registration:

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

<table>
<thead>
<tr>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not audited</td>
<td>n/a</td>
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</tbody>
</table>

**Evidence guidance**

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

**Clause 1.10**

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

<table>
<thead>
<tr>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not audited</td>
<td>n/a</td>
</tr>
</tbody>
</table>

**Evidence guidance**

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

**Clause 1.11**

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

- 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.

<table>
<thead>
<tr>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not audited</td>
<td>n/a</td>
</tr>
</tbody>
</table>
Evidence guidance

Validation of assessment has been completed for at least one training product.
If no, clause is not audited. If yes:
Validation of assessment has been undertaken by one or more persons who, collectively,
hold:

- relevant vocational competencies and current industry skills
- 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)

Final validation decisions are made by a person who was not directly involved with the
delivery and assessment of the training product being validated

Clause 1.12
The RTO offers recognition of prior learning to individual learners.

Original finding: Not audited
Following rectification: n/a

Evidence guidance

RPL has been offered to individual learners

Clause 1.13
In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO’s training and
assessment is delivered only by persons who have:
a) vocational competencies at least to the level being delivered and assessed;
b) current industry skills directly relevant to the training and assessment being provided;
and
c) current knowledge and skills in vocational training and learning that informs their training
and assessment.

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

Original finding: Not compliant
Following rectification: Compliant

Evidence guidance

Each trainer / assessor must meet all requirements for each training product being delivered:

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Training product code/s delivered</th>
<th>1.13 (a)</th>
<th>1.13 (b)</th>
<th>1.13 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Y N</td>
<td>Y N</td>
<td>Y N</td>
</tr>
<tr>
<td>Paul Hartley</td>
<td>39282QLD, AHC21210, BSB50615</td>
<td>✗</td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>
Reasons for finding of non-compliance:

**39282QLD Certificate I in Core Skills for Employment and Training – Communication**

Marina Swan

- The organisation provided a resume for its nominated trainer/assessor, Marina Swan, at audit. However no evidence was able to be provided to confirm that the organisation has verified that Ms Swan has:
  - the vocational competencies required to deliver the above qualification; and
  - current industry skills directly relevant to the training and assessment to be provided; and
  - current knowledge and skills in vocational training and learning that will inform her training and assessment.

**39292QLD Certificate IV in Justice Studies**

Paul Hartley

- The organisation was unable to evidence at audit that its nominated trainer/assessor for the above qualification, Paul Hartley, has current industry skills relevant to the training and assessment to be provided.

Rae-anne McMahon

- The organisation was unable to evidence at audit that its nominated trainer/assessor for the above qualification, Rae-anne McMahon, has current industry skills relevant to the training and assessment to be provided.

**BSB30215 Certificate III in Customer Engagement**

Melanie Hall

- The organisation provided a resume for its nominated trainer/assessor, Melanie Hall, at audit. However no evidence was able to be provided to confirm that the organisation has verified that Ms Hall has:
  - the vocational competencies required to deliver the above qualification; and
  - current industry skills directly relevant to the training and assessment to be provided; and
  - current knowledge and skills in vocational training and learning that will inform her training and assessment.

**BSB31015 Certificate III in Business Administration (Legal)**

Carolyn Buchan
The organisation provided a resume for its nominated trainer/assessor, Carolyn Buchan, at audit. However no evidence was able to be provided to confirm that the organisation has verified that Ms Buchan has:
- the vocational competencies required to deliver the above qualification; and
- current industry skills directly relevant to the training and assessment to be provided; and
- current knowledge and skills in vocational training and learning that will inform her training and assessment.

**BSB42015 Certificate IV in Leadership and Management**
Paul Hartley
- The organisation was unable to evidence at audit that its nominated trainer/assessor for the above qualification, Paul Hartley, has current industry skills relevant to the training and assessment to be provided.

Rae-anne McMahon
- The organisation was unable to evidence at audit that its nominated trainer/assessor for the above qualification, Rae-anne McMahon, has current industry skills relevant to the training and assessment to be provided.

**BSB50615 Diploma of Human Resources Management**
Paul Hartley
- The organisation was unable to evidence at audit that its nominated trainer/assessor for the above qualification, Paul Hartley, has current industry skills relevant to the training and assessment to be provided.

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

**39282QLD Certificate I in Core Skills for Employment and Training – Communication**
Marina Swan
- Provide verified evidence to confirm that Marina Swan has:
  - the vocational competencies required to deliver the above qualification; and
  - current industry skills directly relevant to the training and assessment to be provided; and
  - current knowledge and skills in vocational training and learning that will inform her training and assessment.

**39292QLD Certificate IV in Justice Studies**
Paul Hartley, Rae-anne McMahon
- Provide evidence to demonstrate that each of the nominated trainers/assessors for the above qualification - Paul Hartley and Rae-anne McMahon - have current industry skills relevant to the training and assessment to be provided.

**BSB30215 Certificate III in Customer Engagement**
Melanie Hall
- Provide verified evidence to confirm that Melanie Hall has:
  - the vocational competencies required to deliver the above qualification; and
  - current industry skills directly relevant to the training and assessment to be provided; and
  - current knowledge and skills in vocational training and learning that will inform her training and assessment.
BSB31015 Certificate III in Business Administration (Legal)  
Carolyn Buchan

- Provide verified evidence to confirm that Carolyn Buchan has:
  - the vocational competencies required to deliver the above qualification; and
  - current industry skills directly relevant to the training and assessment to be provided; and
  - current knowledge and skills in vocational training and learning that will inform her training and assessment.

BSB42015 Certificate IV in Leadership and Management  
Paul Hartley  
Rae-anne McMahon

- Provide evidence to demonstrate that each of the nominated trainers/assessors for the above qualification - Paul Hartley and Rae-anne McMahon - have current industry skills relevant to the training and assessment to be provided.

BSB50615 Diploma of Human Resources Management  
Paul Hartley

- Provide evidence to demonstrate that the organisation's nominated trainer/assessor for the above qualification, Paul Hartley, has current industry skills relevant to the training and assessment to be provided.

Analysis of rectification evidence:

39282QLD Certificate I in Core Skills for Employment and Training – Communication  
Marina Swan

- The organisation advised that Marina Swan is no longer a nominated as trainer/assessor for the above qualification; consequently no rectification evidence was provided in respect of Marina Swan.
- As the organisation has another appropriately qualified trainer/assessor to facilitate delivery of the qualification, the organisation is not required to nominate a replacement trainer/assessor at this time.

39292QLD Certificate IV in Justice Studies  
Paul Hartley  
Rae-anne McMahon

- The organisation advised that Paul Hartley and Rae-anne McMahon are no longer nominated trainers/assessors for the above qualification; consequently no rectification evidence was provided in respect of Paul Hartley and Rae-anne McMahon.

Scott Bolitho

- The organisation nominated an alternative trainer/assessor, Scott Bolitho, for 39292QLD Certificate IV in Justice Studies.
- Review of copies of qualifications, a resume and professional development records provided for Mr Bolitho indicate that he has the vocational competency necessary to deliver the above qualification, current industry skills directly relevant to the training and assessment to be provided, and current knowledge and skills in vocational training and learning that will inform his training and assessment.
BSB30215 Certificate III in Customer Engagement

Melanie Hall

- The organisation submitted a written request to withdraw the above qualification from application 1084543; consequently no rectification evidence was provided in respect of Melanie Hall.

BSB31015 Certificate III in Business Administration (Legal)

Carolyn Buchan

- The organisation advised that Carolyn Buchan is no longer a nominated trainer/assessor for the above qualification; consequently no rectification evidence was provided in respect of Carolyn Buchan.

Scott Bolitho

- The organisation nominated an alternative trainer/assessor, Scott Bolitho, for BSB31015 Certificate III in Business Administration (Legal).

- Review of copies of qualifications, a resume and professional development records provided for Mr Bolitho indicate that he has the vocational competency necessary to deliver the above qualification, current industry skills directly relevant to the training and assessment to be provided, and current knowledge and skills in vocational training and learning that will inform his training and assessment.

BSB42015 Certificate IV in Leadership and Management

Paul Hartley

Rae-anne McMahon

- The organisation provided a copy of current job descriptions for each of the above nominated trainers/assessors for BSB42015 Certificate IV in Leadership and Management.

- The evidence supports that Paul Hartley and Rae-anne McMahon have current industry skills relevant to the training and assessment to be provided.

BSB50615 Diploma of Human Resources Management

Paul Hartley

- The organisation provided a copy of the current job description for the above nominated trainer/assessor for BSB50615 Diploma of Human Resources Management.

- The evidence supports that Paul Hartley has current industry skills relevant to the training and assessment to be provided.

- The rectification evidence provided supports compliance with the requirements of Clause 1.13. No further evidence is required.

<table>
<thead>
<tr>
<th>Clause 1.14</th>
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<tbody>
<tr>
<td>The RTO's training and assessment is delivered only by persons who have:</td>
</tr>
<tr>
<td>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</td>
</tr>
<tr>
<td>b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.</td>
</tr>
</tbody>
</table>

Original finding: Not compliant  Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>VET qualifications of trainers and assessors have been verified</td>
<td>☐</td>
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</tbody>
</table>
Each trainer / assessor must meet at least one of the following requirements:

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Schedule 1</th>
<th>Schedule 1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Item 1</td>
<td>Item 2</td>
</tr>
<tr>
<td></td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>Y</td>
<td>N</td>
</tr>
</tbody>
</table>

Paul Hartley

Marina Swan

Rae-anne McMahon

Carolyn Buchan

Melanie Hall

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

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

Reasons for finding of non-compliance:

**Marina Swan**

- The organisation provided a copy of a resume for Marina Swan. However no evidence was able to be provided at audit to confirm that Ms Swan holds either an Item 1 or Item 2 qualification from Schedule 1 to the Standards for Registered Training Organisations (RTOs) 2015.

**Carolyn Buchan**

- The organisation provided a copy of a resume for Carolyn Buchan at audit in which it was stated ‘2005 Certificate IV in Workplace Training and Assessment’. However no evidence was able to be provided to confirm that Ms Buchan holds either an Item 1 or Item 2 qualification from Schedule 1 to the Standards for Registered Training Organisations (RTOs) 2015.

**Melanie Hall**

- The organisation provided a copy of a resume for Melanie Hall at audit in which it was stated ‘TAE 2015 (Training and Assessing)’. However no evidence was able to be provided to confirm that Ms Hall holds either an Item 1 or Item 2 qualification from Schedule 1 to the Standards for Registered Training Organisations (RTOs) 2015.

In order to become compliant, the organisation is required to:
Marina Swan  
Carolyn Buchan  
Melanie Hall  
- Provide evidence that each of the above nominated trainers/assessors holds either an Item 1 or Item 2 qualification from Schedule 1 to the Standards for Registered Training Organisations (RTOs) 2015.

Analysis of rectification evidence:
Marina Swan  
Carolyn Buchan  
Melanie Hall  
- The organisation advised that Marina Swan, Carolyn Buchan and Melanie Hall are no longer nominated as trainers/assessors for training products included in the audit sample; consequently no rectification evidence was provided in respect of Marina Swan, Carolyn Buchan and Melanie Hall for Clause 1.14.

Scott Bolitho  
- The organisation nominated an alternative trainer/assessor, Scott Bolitho, for several qualifications included in the audit sample (see Clause 1.13).
- Evidence was provided to demonstrate that Mr Bolitho holds TAE40110 Certificate IV in Training and Assessment.
- The evidence provided supports compliance with the requirements of Clause 1.14. No further evidence is required.

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

Original finding: Not audited  
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>The RTO uses assessors that conduct assessment only.</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

If no, clause is not audited. If yes:

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

<table>
<thead>
<tr>
<th>Assessor name</th>
<th>Schedule 1 Item 1</th>
<th>Schedule 1 Item 2</th>
<th>Schedule 1 Item 3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Y N</td>
<td>Y N</td>
<td>Y N</td>
</tr>
</tbody>
</table>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor
Schedule 1, Item 2: A Diploma or higher level qualification in adult education
Schedule 1, Item 3: TAESS00001 Assessor Skill Set or its successor
Clause 1.16
The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not compliant</th>
<th>Following rectification:</th>
<th>n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

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

**Reasons for finding of non-compliance:**

- For nominated trainers/assessors, Paul Hartley and Rae-anne McMahon, the organisation provided evidence that both trainers/assessors will be attending future professional development events relevant to the requirements of Clause 1.16.
- With reference to the other nominated trainers/assessors for the sampled training products - Marina Swan, Carolyn Buchan and Melanie Hall - the organisation provided a copy of its employment contract template and trainer profile form. However, the evidence did not demonstrate how the RTO will ensure that the trainers/assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

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

- Provide evidence that demonstrates how the RTO will ensure that the nominated trainers/assessors for the sampled training products undertake professional development in the field of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

**Analysis of rectification evidence:**

- The organisation advised that Marina Swan, Carolyn Buchan and Melanie Hall are no longer nominated as trainers/assessors for training products included in the audit sample.
- Evidence provided for replacement trainer/assessor, Scott Bolitho, supports that Mr Bolitho has recently undertaken training in the field of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.
- The evidence provided supports compliance with the requirements of Clause 1.16. No further evidence is required.

Clause 1.17
Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not audited</th>
<th>Following rectification:</th>
<th>n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

People delivering training under supervision are utilised.

If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.22. If yes:

Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14.

People under supervision do not determine assessment outcomes.
### Clause 1.18
The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

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

<table>
<thead>
<tr>
<th>Individual working under supervision name</th>
<th>Training product code/s delivered</th>
<th>1.18 (a)</th>
<th>1.18 (b)</th>
<th>1.18 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training and assessment complies with Standard 1</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

### Clause 1.20
Without limiting Clauses 1.17 - 1.19, the RTO:

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

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervision arrangements have been identified</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>People delivering training under supervision have been monitored by the supervising trainer</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
Clause 1.21
Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:
   a) hold the training and assessment qualification at least to the level being delivered; or
   b) have demonstrated equivalence of competencies.

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

Clause 1.22
From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

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

Original finding: Not audited       Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>A TAE qualification or skill set is included in the audit scope</td>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

If no, clause is not audited. If yes:

Reasons for finding of non-compliance:

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

Analysis of rectification evidence:

• Evidence yet to be supplied

Clause 1.23
From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:
   a) hold the qualification specified in Item 5 of Schedule 1; or
   b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

Clause 1.24
The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

Clause 1.25
From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the
requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Original finding: Not audited  
Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>A TAE qualification or the assessor skill set is included in the audit scope?</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited. If yes and RTO is applying to add training product to scope, Schedule 2 a) and c) apply</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes and training product is already on scope, Schedule 2 b) and c) apply</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Schedule 2 a)** (addition to scope only)

- Validation of the RTO’s assessment tools, processes and outcomes for other AQF qualifications and/or units of competency on its scope has occurred.
- Validation of the assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set has occurred.

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

- Validation of the assessment system used for delivery of the training and assessment qualification or assessor skill set has occurred.
- Validation of the RTO’s assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set has occurred.

**Schedule 2 c)**

- Validation has been carried out by a validator/s who:
  - collectively have current knowledge and skills in vocational teaching and learning
  - hold the training and assessment qualification or assessor skill set at least to the level being validated
  - are not employed or subcontracted by the RTO to provide training and assessment
  - have no other involvement or interest in the operations of the RTO

**Reasons for finding of non-compliance:**

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

**Analysis of rectification evidence:**

- Evidence yet to be supplied

**Clause 1.26**

Subject to **Clause 1.27** and unless otherwise approved by the VET Regulator, the RTO ensures that:

a) where a training product on its scope of registration is superseded, all learners’ training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;
b) where an AQF qualification is no longer current and has not been superseded, all learners’ training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;

c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners’ training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and

d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

Original finding: Not audited
Following rectification: n/a

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

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

Original finding: Not audited
Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>One or more training products on the RTO’s scope of registration requires delivery of a superseded unit of competency</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The superseded unit of competency has continued to be delivered as required by training product packaging rules</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

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

Original finding: Not audited
Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO is compliant with the clauses sampled across all operations within its scope of registration</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Clause 2.2
The RTO:
- a) systematically monitors the RTO’s training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO’s training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

<table>
<thead>
<tr>
<th>Training and assessment strategies and practices are systematically monitored, including evaluation of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• AVETMISS data</td>
</tr>
<tr>
<td>• quality indicator data</td>
</tr>
<tr>
<td>• validation outcomes</td>
</tr>
<tr>
<td>• client feedback</td>
</tr>
<tr>
<td>• trainer and assessor feedback</td>
</tr>
<tr>
<td>• complaints and appeals</td>
</tr>
</tbody>
</table>

Outcomes of monitoring have informed improvement activities | ![Y] ![N] |

### 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.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

| Third party arrangements are in place for delivery of services | ![Y] ![N] |
|---------------------------------------------------------------|

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) | ![Y] ![N] |

### Clause 2.4
The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

| Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards | ![Y] ![N] N/A |
|---------------------------------------------------------------------------------------------------------------------------------|

The above strategies have been implemented | ![Y] ![N] ![N/A] |
## STANDARD 3
The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records. To be compliant with Standard 3 the RTO must meet the following:

**Clause 3.1**
The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

Reference: AQF Qualifications Issuance Policy, AQF Qualifications Register Policy

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

**Clause 3.4**
Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

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

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

Original finding: Not audited  
Following rectification: n/a

Evidence guidance
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)

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

Original finding: Not audited  
Following rectification: n/a

Evidence guidance
Student Identifiers are verified before being used
AQF certification document is only issued to an individual with 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

STANDARD 4  
Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.
To be compliant with Standard 4 the RTO must meet the following:

Clause 4.1
Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:
   a) accurately represents the services it provides and the training products on its scope of registration;
   b) includes its RTO Code;
   c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
h) includes the code and title of any training product, as published on the National Register, referred to in that information;
i) only advertises or markets a non-current training product while it remains on the RTO’s scope of registration;
j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO’s provision of training and assessment; and
l) does not guarantee that:
   i) a learner will successfully complete a training product on its scope of registration;
   or
   ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
   iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Not audited          Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advertising and marketing:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• is accurate and factual</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• accurately represents the services provided</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• accurately represents the RTO scope of registration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes the RTO code</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• only refers to a person or organisation with their consent</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• identifies where a third party is recruiting prospective learners on behalf of the RTO</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided on behalf of another RTO</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided by a third party</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>• distinguishes between national recognised training and other training</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes the code and title of each training product as per <a href="http://www.training.gov.au">www.training.gov.au</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes accurate information about licensed or regulated outcomes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes details about financial support provided, including VET FEE-HELP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• includes details about relevant government funding subsidies</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Does not guarantee that a learner:

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

### STANDARD 5
Each learner is properly informed and protected.

To be compliant with Standard 5 the RTO must meet the following:

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

<table>
<thead>
<tr>
<th>Original finding</th>
<th>Following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not audited</td>
<td>n/a</td>
</tr>
</tbody>
</table>

**Evidence guidance**

<table>
<thead>
<tr>
<th>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.</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

#### 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.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td>Prior to enrolment or commencement, written information is provided on the following:</td>
<td></td>
</tr>
<tr>
<td>• code and title of the training product as per <a href="http://www.training.gov.au">www.training.gov.au</a></td>
<td>☐</td>
</tr>
<tr>
<td>• currency of the training product</td>
<td>☐</td>
</tr>
<tr>
<td>• estimated duration of training and/or assessment</td>
<td>☐</td>
</tr>
<tr>
<td>• location/s where training and/or assessment will be provided</td>
<td>☐</td>
</tr>
<tr>
<td>• mode/s of delivery</td>
<td>☐</td>
</tr>
<tr>
<td>• name and contact details of any third party providing services</td>
<td>☐</td>
</tr>
<tr>
<td>• work placement arrangements</td>
<td>☐</td>
</tr>
<tr>
<td>• confirmation that the RTO is responsible for compliance of training and/or assessment</td>
<td>☐</td>
</tr>
<tr>
<td>• confirmation that the RTO is responsible for issuance of AQF certification documentation</td>
<td>☐</td>
</tr>
<tr>
<td>• details of the RTO complaints and appeals processes (also refer <a href="#">Clauses 6.1 – 6.4</a>)</td>
<td>☐</td>
</tr>
<tr>
<td>• the learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment</td>
<td>☐</td>
</tr>
<tr>
<td>• the learner’s obligation to repay any VET FEE-HELP debt</td>
<td>☐</td>
</tr>
<tr>
<td>• any entry requirements</td>
<td>☐</td>
</tr>
<tr>
<td>• any materials and equipment the learner must provide</td>
<td>☐</td>
</tr>
<tr>
<td>• any implications on the learner’s entitlement to access government funding by undertaking the training and/or assessment</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Clause 5.3**
Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

a) all relevant fee information including:
   i) fees that must be paid to the RTO; and
   ii) payment terms and conditions including deposits and refunds;

b) the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;

c) the learner’s right to obtain a refund for services not provided by the RTO in the event the:
   i) arrangement is terminated early; or
   ii) the RTO fails to provide the agreed services.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Fees are collected from individual learners
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
- payment terms and conditions
- refund terms and conditions
- the learner’s statutory right to a cooling-off period

<table>
<thead>
<tr>
<th>Clause 5.4</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

Original finding: Not audited  Following rectification: n/a

Evidence guidance | Y | N | N/A |
---|---|---|---|

Learners are advised of any changes to agreed services

<table>
<thead>
<tr>
<th>STANDARD 6</th>
</tr>
</thead>
<tbody>
<tr>
<td>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:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Clause 6.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>The RTO has a complaints policy to manage and respond to allegations involving the conduct of: a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO’s behalf, its trainers, assessors or other staff; or c) a learner of the RTO.</td>
</tr>
</tbody>
</table>

Original finding: Not audited  Following rectification: n/a

Evidence guidance | Y | N | N/A |
---|---|---|---|

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

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not audited</th>
<th>Following rectification:</th>
<th>n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

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

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

**Clause 6.3**
The RTO’s complaints policy and appeals policy:

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

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not audited</th>
<th>Following rectification:</th>
<th>n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

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

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

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

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

<table>
<thead>
<tr>
<th>Original finding:</th>
<th>Not audited</th>
<th>Following rectification:</th>
<th>n/a</th>
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</thead>
</table>

**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

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>
- the complainant or appellant is regularly updated in writing

<table>
<thead>
<tr>
<th>Clause 6.5</th>
<th>The RTO:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) securely maintains records of all complaints and appeals and their outcomes; and</td>
<td></td>
</tr>
<tr>
<td>b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y   N   N/A</td>
</tr>
<tr>
<td>Secure records are maintained of all complaints and appeals and their outcomes</td>
<td>□   □   □</td>
</tr>
<tr>
<td>Potential cause of complaints and appeals are identified and corrective action taken</td>
<td>□   □   □</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Clause 6.6</th>
</tr>
</thead>
<tbody>
<tr>
<td>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 &amp; 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y   N</td>
</tr>
<tr>
<td>An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.</td>
<td>□   □</td>
</tr>
</tbody>
</table>

**STANDARD 7**

The RTO has effective governance and administration arrangements in place.

To be compliant with Standard 7 the RTO must meet the following:

<table>
<thead>
<tr>
<th>Clause 7.1</th>
<th>The RTO ensures that its executive officers or high managerial agent:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and</td>
<td></td>
</tr>
<tr>
<td>b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.</td>
<td></td>
</tr>
</tbody>
</table>

Not audited

<table>
<thead>
<tr>
<th>Clause 7.2</th>
<th>The RTO satisfies the <strong>Financial Viability Risk Assessment Requirements</strong>.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not audited</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y   N   N/A</td>
</tr>
</tbody>
</table>
Where an RTO collects fees in advance in excess of $1500 from individual learners:

**Government entities and universities**

The RTO implements a policy addressing learner fee protection arrangements. This policy details how, if the RTO is unable to provide services for which the learner has prepaid, the learner will **either**:

- be placed into an equivalent course such that:
  - the new location is suitable to the learner
  - the learner receives the full services for which they have prepaid at no additional cost to the learner; **or**
- be refunded for all fees paid in advance over $1500 for services yet to be delivered

**Other RTOs**

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

- the RTO holds an unconditional financial guarantee from a bank operating in Australia where:
  - the guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of $1500 for each learner for services yet to be delivered; and
  - all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO
- the RTO holds current membership of a Tuition Assurance Scheme approved by ASQA
- any other fee protection measure approved by ASQA

**Clause 7.4**

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

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

**Evidence guidance**

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

Public liability insurance is in place that:

- provides coverage for the RTO
- covers training and assessment activities

**Clause 7.5**

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

Not audited

**STANDARD 8**

The RTO cooperates with the VET Regulator and is legally compliant at all times.

*To be compliant with Standard 8 the RTO must meet the following:*

**Clause 8.1**

The RTO cooperates with the VET Regulator:
a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration;

b) in the conduct of audits and the monitoring of its operations;

c) by providing quality/performance indicator data;

d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO’s ability to comply with these standards within 90 calendar days of the change occurring;

e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and

f) in the retention, archiving, retrieval and transfer of records.

### Evidence guidance

<table>
<thead>
<tr>
<th>The RTO co-operates with ASQA:</th>
</tr>
</thead>
<tbody>
<tr>
<td>by providing accurate and truthful responses to information requests relevant to the RTO’s registration</td>
</tr>
<tr>
<td>in the conduct of audits and the monitoring of its operations</td>
</tr>
<tr>
<td>by providing quality/performance indicator data</td>
</tr>
<tr>
<td>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</td>
</tr>
<tr>
<td>in the retention, archiving, retrieval and transfer of records</td>
</tr>
</tbody>
</table>

**Reference:** ASQA General Direction – Retention requirements for completed student assessment items

---

### Clause 8.2

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

a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and

b) in the conduct of audits and the monitoring of its operations.

<table>
<thead>
<tr>
<th>Original finding: Not audited</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
</table>

**Evidence guidance**

<table>
<thead>
<tr>
<th>Third party arrangements are in place for delivery of services (also refer Clause 2.3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>If no, clause is not audited. If yes:</td>
</tr>
</tbody>
</table>

- 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 | Y | N |
  - in the conduct of audits and the monitoring of its operations | Y | N |

**Clause 8.3**

The RTO notifies the Regulator:

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

b) within 30 calendar days of the agreement coming to an end.

Not audited
Clause 8.4
The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:
   a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
   b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Not audited

Clause 8.5
The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Not audited

Clause 8.6
The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Original finding: Not audited  Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>