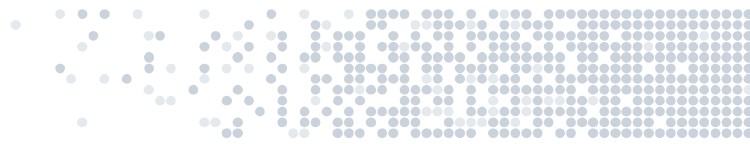


Audit report – VET Quality Framework Standards for Registered Training Organisations (RTOs) 2015

ORGANISATION DETAILS	
Organisation's legal name	Peninsula Training & Employment Program Inc
Trading name/s	Advance
RTO number	4016
CRICOS number	N/A
AUDIT TEAM	
Lead auditor	F. Garai
Auditor/s	N/A
Technical adviser/s	N/A
AUDIT DETAILS	
Application number/s	1069156
Audit number/s	1007250
Audit reason 1	Application - renewal To assess ongoing compliance with the VQF – focus is on evidence of effective ongoing deployment of systems. Standards: 1.1 – 1.21, 2, 3, 4, 5, 6, 7.3, 8.2, 8.6
Audit reason 2	n/a specify or delete
Audit reason 3	n/a specify or delete
Activity type	Site visit
Address of site/s visited	16 Henry Wilson Drive Rosebud West Vic 3940
Date/s of audit	4 to 5 February 2015
Organisation's contact for audit	Steve Wright CEO steve.w@advance.vic.edu.au 041859868377
Clauses audited	1.1 - 1.21, 2.1, 2.2, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6, 4.1, 5.1, 5.2, 5.3, 5.4, 6.1, 6.2, 6.3, 6.4, 6.5, 7.3, 8.6



BACKGROUND

The registered provider commenced operating as an RTO in 1993, the registered provider is a not for profit community organisation, the client focus is disadvantaged members of the community, and the training is focussed on assisting them gaining skills for employment.

RTO Management structure

The registered provider consists of a board of management that meets twice a month and includes members from education, corporate/business, and general community backgrounds.

The organisation has a total staff of twenty four being admin/support staff and trainers and assessors.

The CEO and general manager reports to the board bi-monthly and the other managers of the registered provider report to the CEO and the general manager weekly on the operations of the registered provider.

Other strategic & operational groups that assist the RTO

The registered provider does not utilise any industry peak bodies or associations to assist them with developing and validating training and assessment. The registered provider is a member of the Community colleges Australia, ACFE, local community groups, Community That Care, and interacts with the AHC ISC.

General description of RTO location & facilities

The registered provider has offices & training facilities:

16 Henry Wilson Drive Rosebud West (All qualifications)

Hastings Community Hub 1973, Frankston/Flinders Rd. Hastings

43 Mitchell Street Mornington

The registered provider also uses a commercial kitchen owned Sea winds Community Hub, Allambie, Rosebud West for the delivery of the SIT20213 Certificate II in Hospitality.

General description of training modes used by the RTO/organisation

The registered provider delivers training using classroom based Face to Face, the registered provider also supports traineeships.

At present that registered provider is not delivering or offering the delivery of training in other interstate localities, there is a plan to commence delivering training in Queensland, but the time lines have not been determined by the registered provider's management.

RTO/Organisation scope of registration

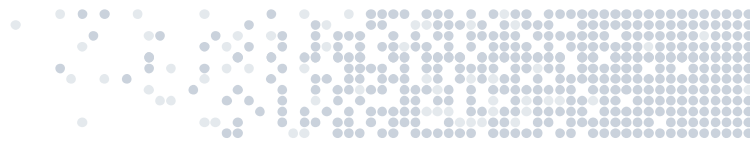
The registered provider delivers training form the following training packages:

AHC10, BSB07, CHC08, HLT Health, TAE10, 22012VIC Certificate I Vocational Preparation, 22128VIC, 2234VIC

RTO/organisation current enrolment/s details

HLT32512 Certificate III in Health Services = 4 students

CHC30212 Certificate III in Aged Care = 31 students



RTO/organisation fee or funding information

The both as a fee for service and government funded provider

Total student enrolled at time of audit = 35

AUDIT SAMPLE

Code	Training product	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
AHC30710	Certificate III in Horticulture	Face to Face	NIL
CHC30212	Certificate III in Aged Care	Face to Face	31
CHC30312	Certificate III in Home and Community Care	Face to Face	NIL
SIT20213	Certificate II in Hospitality	Face to Face	NIL
BSB20112	Certificate II in Business	Face to Face	NIL
TAE40110	Certificate IV in Training and Assessment	Face to Face	NIL

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

INTERVIEWEES

Name	Position	Training product
Steve Wright	CEO	ALL
Gill Latchford	General Manager	ALL
Kristine Helisma	Learning development & Compliance manager	ALL

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 5 February 2015: Critical non-compliance

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 26 March 2015: Compliant



AUDIT FINDING BY STANDARD		
Standard	Original finding	Finding following rectification
Standard 1	Not compliant	Compliant
Standard 2	Not compliant	Compliant
Standard 3	Not compliant	Compliant
Standard 4	Compliant	n/a
Standard 5	Not compliant	Compliant
Standard 6	Not compliant	Compliant
Standard 7	Compliant	n/a
Standard 8	Not compliant	Compliant

ABOUT THIS REPORT

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

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

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



Standard 1	The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses. To be compliant with Standard 1 the RTO must meet the following:
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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.
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Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
A training and assessment strategy (or strategies) was provided for each training product sampled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy is consistent with the requirements of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy provides a framework to guide the learning requirements and the training and assessment arrangements of each training product – the macro level requirements of the learning and assessment process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy has been consistently implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Reasons for finding of non-compliance:

Evidence audited:

Training and Assessment Strategies for:

- SIT20213 Certificate II in Hospitality
- BSB20112 Certificate II in Business
- CHC30212 Certificate III in Aged Care
- CHC30312 Certificate III in Home and Community Care
- TAE40110 Certificate IV in Training and Assessment
- AHC30710 Certificate III in Horticulture

Common non-compliances:

1. The registered providers training and assessment strategies did not specify all of the resources, both human and physical, that will be used to meet the requirements of the qualification/course/unit of competency.
2. The training and assessment strategy does not identify the locations where training will be delivered and assessment will be conducted.
3. The training and assessment strategy has not identified entrance pre enrolment/enrolment requirements: e.g. minimum education standard, industry skills, knowledge, & experience, legislative, regulatory requirements e.g. medical restrictions/requirements, any age restrictions i.e. under 18 year olds cannot be enrolled in the course/qualification.
4. The training and assessment strategy identifies that learning will by different modes but does not identify the different delivery modes. e. g. face to face, E-learning, distance/self-paced, through workplace training or a mixture of different modes.
5. The registered providers training and assessment strategy did not state how a student would be deemed competent to receive the unit of competency or qualification they have been assessed against.



6. The training and assessment strategies did not identify or refer to a reassessment process.
7. Did not demonstrate how authenticity of student work will be assured or verified.
8. Did not demonstrate how cheating and plagiarism will be monitored and managed.
9. The RTO has not demonstrated a plan for systematic validation of assessment but it does identify how the plan meets all of the following criteria. Refer to clause 1.9 for further details.

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

- Demonstrate evidence that the training and assessment strategies have been amended to ensure learner audiences will be able to assimilate the required skills and knowledge to demonstrate competence.
- Demonstrate evidence that the training and assessment strategies have been amended to ensure the Principles of Assessment and the Rules of Evidence are referred to in accordance with the relevant training package and training product requirements.

Analysis of rectification evidence:

Evidence analysed:

Training and Assessment Strategies for:

- SIT20213 Certificate II in Hospitality
- BSB20112 Certificate II in Business
- CHC30212 Certificate III in Aged Care

The registered providers evidence demonstrated that the training and assessment strategies have been amended to ensure learner audiences will be able to assimilate the required skills and knowledge to demonstrate competence, and are in accordance with the relevant training package requirements.



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:

- the existing skills, knowledge and experience of learners ☐ ☒
- the mode/s of delivery ☒ ☐
- the number of units and/or modules being delivered ☒ ☐

Each strategy is consistent with the AQF volume of learning benchmarks, taking into account the above items ☐ ☒

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

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

Reasons for finding of non-compliance:

Evidence audited:

Training and Assessment Strategies for:

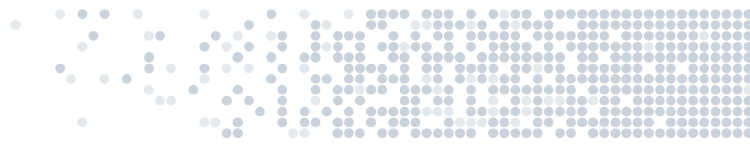
- SIT20213 Certificate II in Hospitality
- BSB20112 Certificate II in Business
- CHC30212 Certificate III in Aged Care
- CHC30312 Certificate III in Home and Community Care
- TAE40110 Certificate IV in Training and Assessment
- AHC30710 Certificate III in Horticulture

The registered provider did not demonstrate how the RTO determines the amount of training they provide to each learner with regard to:

- the existing skills, knowledge and the experience of the learner; and
- the appropriate duration time for delivery of the qualifications to allow the learner to assimilate the required skills and knowledge to demonstrate competence.

The registered provider confirmed that under 18 year olds and inexperienced learners could form the enrolment group.

- The duration of training for the qualification AHC30710 Certificate III in Horticulture is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for a period of 7 months. No rationale or strategy was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators.
- The duration of training for the qualification CHC30212 Certificate III in Aged Care is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for a period of 5 months. No rationale or strategy was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators.



- The duration of training for the qualification CHC30312 Certificate III in Home and Community Care is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for a period of 7 months. No rationale or strategy was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators.
- The duration of training for the qualification BSB20112 Certificate II in Business is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for a period of 6 months. No rationale or strategy was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators.
- The duration of training for the qualification SIT20213 Certificate II in Hospitality is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for a period of 3 months. No rationale or strategy was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators.

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

Demonstrate evidence that the training and assessment strategies have been amended to ensure learner audiences will be able to assimilate the required skills and knowledge to demonstrate competence.

Provide a plan or similar for how the organisation will ensure, by implementing the strategies noted above, that the amount of training provided and the durations of training and assessment activities for all qualifications will be consistent with the volume of learning indicators specified within the Australian Qualifications Framework and the identified needs of the learners by 1 July 2015.

Analysis of rectification evidence:

Evidence analysed:

Training and Assessment Strategies for:

- SIT20213 Certificate II in Hospitality
- BSB20112 Certificate II in Business
- CHC30212 Certificate III in Aged Care

TAS Revision Implementation Plan

The registered provider's evidence demonstrated that the training and assessment strategies have been amended to ensure learner audiences will be able to assimilate the required skills and knowledge to demonstrate competence, and are in accordance with the relevant training package requirements.

The registered provider provided a plan of how the organisation will ensure that the amount of training provided and the durations of training and assessment activities for all qualifications will be consistent with the volume of learning indicators specified within the Australian Qualifications Framework and the identified needs of the learners by 1 July 2015.



- 1.3 The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:**
- a) trainers and assessors to deliver the training and assessment;**
 - b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;**
 - c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and**
 - d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.**

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N
For all training products sampled, there are sufficient:		
• trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• educational and support services to meet the needs of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• learning resources that address the requirements of all components of the relevant training product and are accessible to all learners	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• facilities and equipment to accommodate the number of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consistency is evident between each strategy and the above resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

Evidence audited:

- AHCPMG302A Control plant pests, diseases and disorders: Learners work book & formative assessments
- AHCWRK313A Implement and monitor environmentally sustainable work practices: Learners work book & formative assessments
- SITXFSA101 Use hygienic practices for food safety: Learner guide
- CHCHC311C Work effectively in home and community care: Aspire learners work book
- CHCCS411C Work effectively in the community sector: Aspire learners work book
- CHCAC318B Work effectively with older people: Aspire learners work book
- BSBWHS201A Contribute to health & safety of self and others: Aspire learners work book
- BSBITU201A Produce simple word processed documents: Aspire learners work book
- BSBWOR203B Work effectively with others: Aspire learners work book
- TAEASS402B Assess competence: Power point presentation & learner handouts 1 to 6
- TAEDEL401A Plan Organise and deliver group based learning: Power point presentation & learner handouts

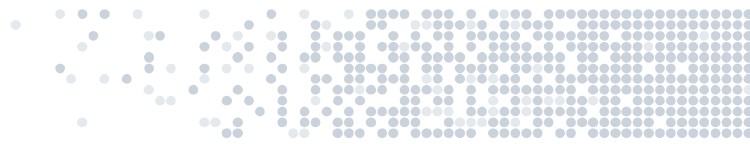
The learning materials for the TAE units do not cover the required skills & knowledge and the critical aspects of assessment in accordance with the training products requirements.

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

Demonstrate evidence that the learning materials for the:

- TAEASS402B Assess competence: Power point presentation & learner handouts 1 to 6
- TAEDEL401A Plan Organise and deliver group based learning: Power point presentation & learner handouts

Have been amended to ensure the required skills & knowledge and the critical aspects of assessment are



delivered to the learner in accordance with the training products requirements.

Analysis of rectification evidence:

Evidence analysed:

TAEASS402B Unit Plan

- TAEASS402B Assess Competence Power point presentation
- TAEASS402B RPL Power point presentation
- TAEASS402B RPL Handout 1
- TAEASS402B Handout 1
- TAEASS402B Handout 2
- TAEASS402B Handout 3
- TAEASS402B Handout 4
- TAEASS402B Handout 5
- TAEASS402B Handout 6
- TAEASS402B Handout 7
- TAEASS402B Handout 8

TAEDEL401A Unit Plan

- TAEDEL401A Power point presentation
- TAEDEL401A Handout 1
- TAEDEL401A Handout 2
- TAEDEL401A Handout 3
- TAEDEL401A Handout 4
- TAEDEL401A Handout 5
- TAEDEL401A Handout 6
- TAEDEL401A Handout 7
- TAEDEL401A Handout 8
- TAEDEL401A Handout 9
- TAEDEL401A Handout 10
- TAEDEL401A Handout 11
- TAEDEL401A Handout 12

The registered provider's evidence demonstrated that the learner resources have been amended to ensure the required skills & knowledge and the critical aspects of assessment are delivered to the learner in accordance with the training products requirements, and are in accordance with the relevant training package requirements.



1.4 The RTO meets all requirements specified in the relevant training package or VET accredited course.			
Original finding: Not compliant		Following rectification: Compliant	
Evidence guidance	Y	N	N/A
Training and assessment strategies and resources are consistent with the requirements of each training product sampled	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Training and assessment practices are consistent with the requirements of each training product sampled	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Reasons for finding of non-compliance:			
Evidence audited:			
Training and Assessment Strategies for:			
<ul style="list-style-type: none"> SIT20213 Certificate II in Hospitality BSB20112 Certificate II in Business CHC30212 Certificate III in Aged Care CHC30312 Certificate III in Home and Community Care TAE40110 Certificate IV in Training and Assessment AHC30710 Certificate III in Horticulture 			
RPL and unit of competency assessment tools for:			
<ul style="list-style-type: none"> SIT20213 Certificate II in Hospitality BSB20112 Certificate II in Business CHC30212 Certificate III in Aged Care CHC30312 Certificate III in Home and Community Care TAE40110 Certificate IV in Training and Assessment AHC30710 Certificate III in Horticulture BSBWHS201A Contribute to health & safety of self and others BSBITU201A Produce simple word processed documents BSBWOR203B Work effectively with others SITXFSA101 Use hygienic practices for food safety CHCAC318B Work effectively with older people CHCCS411C Work effectively in the community sector CHCHC311C Work effectively in home and community care AHCWRK313A Implement and monitor environmentally sustainable work practices AHCPMG302A Control plant pests, diseases and disorders TAEASS402B Assess competence TAEDEL401A Plan Organise and deliver group based learning 			
Refer to clause 1.1, 1.2, and 1.9 in regards to the non-compliances found in the training and assessment strategies.			
Refer to clause 1.8 for details on the non-compliances found in the training and assessment tools.			
<i>In order to become compliant, the organisation is required to:</i>			
<ul style="list-style-type: none"> Submit an action plan for the implementation of the revised training and assessment strategies to 			



demonstrate that practices will comply with all aspects of this clause by 1 July 2015.

- Demonstrate evidence that the assessment tools for the specified units of competency have been amended to ensure that they satisfy the requirements of the training package and the respective training products.

Analysis of rectification evidence:

Evidence analysed:

TAS Revision Implementation Plan

The registered provider's evidence demonstrated that the training and assessment strategies have been amended to ensure the required skills & knowledge and the critical aspects of assessment are delivered to the learner in accordance with the training products requirements, and are in accordance with the relevant training package requirements.

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

Following rectification: n/a

Evidence guidance

Y **N**

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

☒ ☐

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



1.6	The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of: a) its training and assessment strategies, practices and resources; and b) the current industry skills of its trainers and assessors.
------------	--

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
A range of industry engagement strategies have been developed	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Industry engagement strategies have been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Outcomes from industry engagement strategies have been systematically used to inform:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• training and assessment strategies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• training and assessment practices	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• resources, including facilities and equipment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• current industry skills required to be held by trainers and assessors	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>			

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.
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Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
Support needs of learners have been identified	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Learners have access to educational and support services necessary for them to meet the requirements of the relevant training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>



1.8	The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):
	a) complies with the assessment requirements of the relevant training package or VET accredited course; and
	b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Original finding: Not compliant	Following rectification: Compliant
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Evidence guidance	Y	N	N/A
BSB20112 Certificate II in Business			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

BSBWHS201A Contribute to health & safety of self and others
Assessment tools consist of:
<ul style="list-style-type: none"> Multiple question Knowledge test

BSBITU201A Produce simple word processed documents
Assessment tools consist of:
<ul style="list-style-type: none"> Multiple question Knowledge & practical test

Principles of Assessment – fairness, flexibility, validity, reliability:				
BSBWHS201A		BSBITU201A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)



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

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

BSBWHS201A		BSBITU201A			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
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SIT20213 Certificate II in Hospitality

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

BSBWOR203B Work effectively with others

Assessment tools consist of:

- Multiple question Knowledge & practical test

SITXFSA101 Use hygienic practices for food safety

Assessment tools consist of:

- Multiple question Knowledge & practical test

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

BSBWOR203B		SITXFSA101			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level	



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

BSBWOR203 B		SITXFSA101			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
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CHC30212 Certificate III in Aged Care

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

CHCAC318B Work effectively with older people

Assessment tools consist of:

- Multiple question Knowledge & practical test

CHCCS411C Work effectively in the community sector

Assessment tools consist of:

- Multiple question Knowledge & practical test

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

CHCAC318B		CHCCS411C			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed	



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

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

CHCAC318B		CHCCS411C			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
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CHC30312 Certificate III in Home and Community Care

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

CHCCS411C Work effectively in the community sector

Assessment tools consist of:

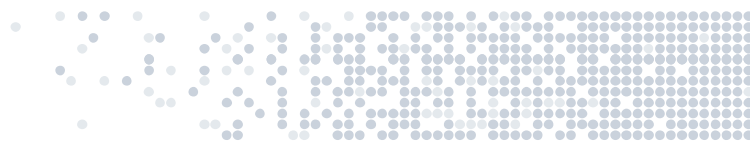
- Multiple question Knowledge & practical test

CHCHC311C Work effectively in home and community care

Assessment tools consist of:

- Multiple question Knowledge & practical test

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



CHCCS411C		CHCHC311C		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CHCCS411C		CHCHC311C		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
AHC30710 Certificate III in Horticulture			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AHCWRK313A Implement and monitor environmentally sustainable work practices

Assessment tools consist of:

- Multiple question Knowledge & practical test



AHCPMG302A Control plant pests, diseases and disorders

Assessment tools consist of:

- Multiple question Knowledge & practical test

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

AHCWRK313 A		AHCPMG302 A		Evidence guidance:
Y	N	Y	N	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

AHCWRK313 A		AHCPMG302 A		Evidence guidance:
Y	N	Y	N	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance

Y N N/A

TAE40110 Certificate IV in Training and Assessment

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



TAEASS402B Assess competence

Assessment tools consist of:

- Multiple question Knowledge & practical test, project

TAEDEL401A Plan Organise and deliver group based learning

Assessment tools consist of:

- Multiple question Knowledge & practical test

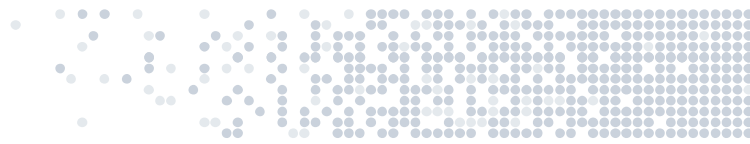
Principles of Assessment – fairness, flexibility, validity, reliability:

TAEASS402		TAEDEL401 A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

TAEASS402		TAEDEL401 A		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:



Evidence audited:

- RPL Assessment tool for TAA04 upgrade to TAE40110
- BSBWHS201A Contribute to health & safety of self and others: Student & assessor assessment guide
- BSBITU201A Produce simple word processed documents: Student & assessor assessment guide
- BSBWOR203B Work effectively with others: Student & assessor assessment guide
- SITXFSA101 Use hygienic practices for food safety: Student & assessor assessment guide
- CHCAC318B Work effectively with older people: Student & assessor assessment guide
- CHCCS411C Work effectively in the community sector: Student & assessor assessment guide
- CHCHC311C Work effectively in home and community care: Student & assessor assessment guide
- AHCWRK313A Implement and monitor environmentally sustainable work practices: Student & assessor assessment guide
- AHCPMG302A Control plant pests, diseases and disorders: Student & assessor assessment guide
- TAEASS402B Assess competence: Student & assessor assessment guide
- TAEDEL401A Plan Organise and deliver group based learning: Student & assessor assessment guide

The registered providers evidence for the RPL tool for TAE40110 Certificate IV in Training and Assessment, and the unit of competency assessment tools do not meet the principles of assessment and the rules of evidence because:

1. There were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated. e.g. the time for the candidate to complete the assessment tasks, whether the assessment is closed book or open book assessment.
2. There were no instructions to either the assessor or the candidate on how reassessment is to be conducted.
3. The assessment strategies do not collect sufficient evidence to satisfy the required/essential knowledge to assess the competence of the candidate.
4. The assessment tool did not identify abilities identified as 'critical' that must be demonstrated comprehensively to ensure the candidate can perform the work as expressed in the elements and performance criteria.
5. There were no assessment instructions for the assessor to assist making decisions from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.
6. Multiple assessments were identified for a Unit of Competency; it was not clear which assessments are to determine a student's progress (Formative Assessments) and which assessments are to determine a student's competence against the Unit of Competency (Summative Assessments)
7. No instructions on how cheating and or plagiarism is to be managed

e.g. in the RPL assessment tool the evidence criteria of the candidate producing their existing TAA04 certificate is not evidence for the three Units of Competency that are required to upgrade to the TAE40110 Certificate IV in Training and Assessment. There is no criteria for collecting evidence to satisfy the required skills & knowledge and other critical aspects of evidence as required by the specific units of competency.

e.g. for BSBWHS201A Contribute to health & safety of self and others, the following required knowledge is not assessed by the assessment tool:

- emergency procedures, including procedures for fires and incidents
- meaning of commonly used hazard signs and safety symbols
- responsibilities, as specified in WHS Acts, regulations and codes of practice, of:



- self
- persons conducting businesses or undertakings (PCBUs) or their officers
- fellow workers.

e.g. for CHCAC318B Work effectively with older people, the following essential knowledge is not assessed in the assessment tool:

Foundation knowledge of common physiological, chronic and age-related conditions such as:

- arthritis and other musculoskeletal problems
- depression
- diabetes
- frailty and deconditioning
- heart and lung disease
- incontinence
- neurological disorders
- skin disorders including skin cancers
- stroke
- vascular disease
- Impact of 'normal' ageing on the older person

e.g. for CHCCS411C Work effectively in the community sector, the following essential knowledge is not assessed in the assessment tool:

Essential skills:

- It is critical that the candidate demonstrate the ability to:
- Demonstrate knowledge of the ramifications of breaches of duty of care, confidentiality, ethical guidelines and other relevant policies and legislation
- Identify own responsibilities and role within the workplace
- In addition, the candidate must be able to effectively do the task outlined in elements and performance criteria of this unit, manage the task and manage contingencies in the context of the identified work role

These include the ability to:

- Accurately follow organisation procedures relevant to own role
- Address safety issues relevant to own work role
- Apply decision-making and problem solving skills as required to constructively achieve identified outcomes in line with work role
- Communicate effectively about the importance of issues relating to environmental responsibility and sustainable practice and opportunities to address them
- Demonstrate interpersonal communication with people
- Demonstrate functional literacy skills needed for written and oral information about workplace requirements
- Demonstrate communication skills as required by specific work role, including:
 - interpreting and following verbal and/or written instructions
 - seeking clarification of tasks
 - providing information
 - reporting incidents in line with organisation requirements
- Participate in appropriate professional development activities on an ongoing basis, including:
 - maintaining own skills and knowledge and ongoing development
 - being open to learning new ideas and techniques in a range of settings
 - sharing workplace information with others
- Use initiative in responding to challenging situations and individuals
- Work as part of a team or as a sole worker
- Work in a non-judgemental manner

e.g. for AHCWRK313A Implement and monitor environmentally sustainable work practices, the following required knowledge is not assessed by the assessment tool:

- best practice approaches relevant to own area of responsibility and industry
- compliance requirements within work area for all relevant environmental/sustainability legislation,



regulations and codes of practice including resource hazards/risks associated with work area, job specifications and procedures

- environmental and energy efficiency issues, systems and procedures specific to industry practice
- external benchmarks and support for particular benchmarks to be used within organisation, including approaches to improving resource use for work area and expected outcomes
- OHS issues and requirements
- organisational structure and reporting channels and procedures
- quality assurance systems relevant to own work area
- strategies to maximise opportunities and to minimise impact relevant to own work area
- supply chain procedures
- terms and conditions of employment including policies and procedures, such as daily tasks, work area responsibilities, employee, supervisor and employer rights, equal opportunity.

e.g. for AHCPMG302A Control plant pests, diseases and disorders, , the following required knowledge is not assessed by the assessment tool:

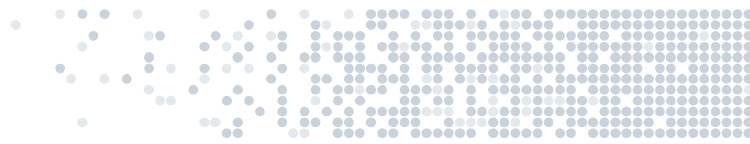
- pests and disease recognition
- economic, aesthetic or environmental thresholds for a range of plant pests, diseases and disorders
- chemical, biological and cultural control methods and treatments available to the enterprise within the parameters of an IPM program
- range and use of tools, equipment and machinery available to the enterprise for implementing the control measures
- range of site monitoring and analysis techniques that may be used to implement and IPM program
- choice of plant pest and disease methods with site limitations, environmental implications, end market and production or environmental objectives for the site
- IPM standards or industry Code of Practice
- occupational health and safety responsibilities for employees and employers
- correct use and maintenance of personal protective equipment.
- OHS and environmental legislative requirements including hazardous substances regulations.

TAEASS402B Assess competence

The assessment tools do not collect sufficient evidence to satisfy the required knowledge to assess the competence of the candidate. The following required knowledge was not collected in the assessment tool.

Required knowledge:

- competency-based assessment, including:
- vocational education and training as a competency-based system
- criterion-referenced assessment as distinct from norm-referenced assessment
- competency standards as the basis of qualifications
- structure and application of competency standard
- principles of assessment and how they are applied
- rules of evidence and how they are applied
- range of assessment purposes and assessment contexts, including RPL
- different assessment methods, including suitability for gathering various types of evidence, suitability for content of units, and resource requirements and associated costs
- reasonable adjustments and when they are applicable
- types and forms of evidence, including assessment instruments that are relevant to gathering different types of evidence used in competency-based assessment, including RPL
- potential barriers and processes relating to assessment tools and methods
- assessment system, including policies and procedures established by the industry, organisation or training authority
- RPL policies and procedures established by the organisation
- cultural sensitivity and equity considerations
- relevant policy, legislation, codes of practice and national standards, including commonwealth and state or territory legislation that may affect training and assessment in the vocational education and training sector, such as:



- copyright and privacy laws in terms of electronic technology
- security of information
- plagiarism
- training packages and competency standards
- licensing requirements
- industry and workplace requirements
- duty of care under common law
- recording information and confidentiality requirements
- anti-discrimination, including equal employment opportunity, racial vilification and disability discrimination
- workplace relations
- industrial awards and enterprise agreements
- OHS responsibilities associated with assessing competence, such as:
 - requirements for reporting hazards and incidents
 - emergency procedures
 - procedures for use of relevant personal protective equipment
 - safe use and maintenance of relevant equipment

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

Demonstrate evidence that the assessment tools sampled have been amended to meet the Rules of Evidence and the Principles of Assessment required by the relevant training packages and training products.

Analysis of rectification evidence:

Evidence analysed:

Assessment Tools for:

SIT Assessment Tools, CHC Assessment Tools, BSB Assessment Tools, TAE Assessment Tools folders.

- AHCPMG302A Control plant pests, diseases and disorders
- AHCWRK313A Implement and monitor environmentally sustainable work practices
- SITXFSA101 Use hygienic practices for food safety
- CHCHC311C Work effectively in home and community care
- CHCCS411C Work effectively in the community sector
- CHCAC318B Work effectively with older people
- BSBWHS201A Contribute to health & safety of self and others
- BSBITU201A Produce simple word processed documents
- BSBWOR203B Work effectively with others
- TAEASS402B Assess competence
- TAEDEL401A Plan Organise and deliver group based learning

The registered provider's evidence demonstrated that the sampled assessment tools have been amended to ensure the required skills & knowledge and the critical aspects of assessment are assessed in accordance with the training products requirements, and are in accordance with the relevant training package requirements.



1.9	The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:
	a) when assessment validation will occur;
	b) which training products will be the focus of the validation;
	c) who will lead and participate in validation activities; and
	d) how the outcomes of these activities will be documented and acted upon.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
A plan for ongoing systematic validation of assessment has been developed that identifies:			
• When assessment validation will occur for each training product on the RTO's scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Who will lead and participate in validation activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• How the validation outcomes will be documented and acted upon	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The plan for validation has been implemented	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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.
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Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
The plan for validation of assessment ensures:			
• All training products will be validated at least once every five years	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• At least 50% of training products will be validated in the first three years of the above cycle	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Relative risk of all training products are taken into account in scheduling validation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Training products identified as high risk by ASQA are taken into account in scheduling validation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The above have been achieved in implementing the plan for validation of assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

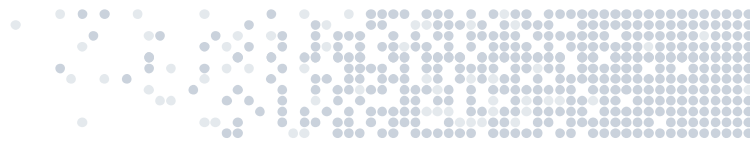


1.11	<p>For the purposes of Clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:</p> <ul style="list-style-type: none"> a) vocational competencies and current industry skills relevant to the assessment being validated; b) current knowledge and skills in vocational teaching and learning; and c) the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1. <p>Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.</p>
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Original finding: Compliant	Following rectification: n/a	
Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If no, clause is not audited. If yes:		
Validation of assessment has been undertaken by one or more persons who, collectively, hold:		
• Relevant vocational competencies and current industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Current knowledge and skills in VET teaching and learning	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Final validation decisions are made by a person who was not directly involved with the delivery and assessment of the training product being validated	<input checked="" type="checkbox"/>	<input type="checkbox"/>

1.12 The RTO offers recognition of prior learning to individual learners.
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Original finding: Not compliant	Following rectification: Compliant	
Evidence guidance	Y	N
RPL has been offered to individual learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Reasons for finding of non-compliance:</i>		
<u>Evidence audited:</u>		
<ul style="list-style-type: none"> • RPL Assessment kit from TAA04 to TAE40110 		
<p>The registered provider only offers RPL from TAA04 to TAE10 based on the needs of the learner audience ascertained at the time of enrolment by the registered provider. RPL conducted as an upgrade from BSZ & TAA04 qualifications to TAE10 qualification only.</p>		
<p>The registered providers RPL assessment evidence was found not to demonstrate the assessment systems' effectiveness to meet the Principles of Assessment and the Rules of Evidence, refer to clause 1.8 for details of non – compliances in regards to the Principles of Assessment and the Rules of Evidence.</p>		
<p><i>In order to become compliant, the organisation is required to:</i></p>		
<p>Demonstrate evidence of how the RPL assessment systems' effectiveness will demonstrate that it will meet the Principles of Assessment and the Rules of Evidence, and the training package and training product requirements.</p>		



Analysis of rectification evidence:

Evidence analysed:

The RPL Assessment Kit from TAA04 to TAE40110 (*RPL Kit TAA40104 to TAE40110.docx*) has been amended to ensure that will meet the Principles of Assessment and the Rules of Evidence, and the training package and training product requirements. The Application for Recognition of Prior Learning Overview (*PD28B Application for Recognition of Prior Learning Overview TAA toTAE.docx*) has also been amended. These

The registered provider's evidence demonstrated that the sampled RPL assessment tools have been amended to ensure the required skills & knowledge and the critical aspects of assessment are assessed in accordance with the training products requirements, and are in accordance with the relevant training package requirements.

- 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

Skills and knowledge of trainers and assessors have been verified

Y N

☐ ☐

Jamie Burton

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

AHC30710 Certificate III in Horticulture

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)

☐ ☒

Current relevant industry skills

☐ ☒

Current vocational training and learning knowledge and skills

☒ ☐

Delicia Preston

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

BSB20112 Certificate II in Business

Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)

☐ ☒

Current relevant industry skills

☒ ☐

Current vocational training and learning knowledge and skills

☒ ☐

Lois Wikes

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



CHC30212 Certificate III in Aged Care		
CHC30312 Certificate III in Home and Community Care		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Current relevant industry skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Joanna Vercoe		
Trainer/assessor of following training products within scope of audit:		
SIT20213 Certificate II in Hospitality		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Keith Redmond		
Trainer/assessor of following training products within scope of audit:		
TAE40110 Certificate IV in Training and Assessment		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

Evidence audited:

Staff files for:

Jamie Burton: AHC30710 Certificate III in Horticulture

Delicia Preston: BSB20112 Certificate II in Business

Lois Wikes: CHC30212 Certificate III in Aged Care, and CHC30312 Certificate III in Home and Community Care

Joanna Vercoe: SIT20213 Certificate II in Hospitality

Keith Redmond: TAE40110 Certificate IV in Training and Assessment

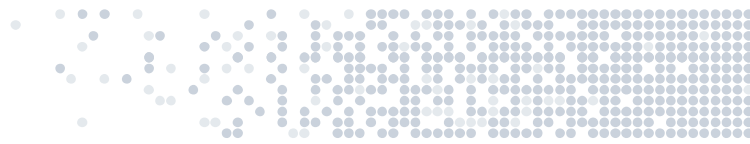
The registered providers evidence did not demonstrate that:

Jamie Burton, Delicia Preston have:

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

Lois Wikes: CHC30212 Certificate III in Aged Care, and CHC30312 Certificate III in Home and Community Care

- Does not have the relevant vocational competencies at least to the level being delivered or assessed



- for the qualification CHC30312 Certificate III in Home and Community Care; and
- Did not demonstrate current industry skills directly relevant to the training/assessment being undertaken for the qualification CHC30312 Certificate III in Home and Community Care.

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

Demonstrate evidence that the trainers and assessors that will be delivering and assessing the:

AHC30710 Certificate III in Horticulture, BSB20112 Certificate II in Business, and CHC30312 Certificate III in Home and Community Care have:

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

Analysis of rectification evidence:

Evidence analysed:

The Trainer Matrix and CV's for:

- Jamie Burton,
- Lois Wickes
- Delicia Preston

The registered provider's evidence demonstrated that the trainers and assessors delivering and assessing the: AHC30710 Certificate III in Horticulture, BSB20112 Certificate II in Business, and CHC30312 Certificate III in Home and Community Care have:

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

1.14	The RTO's training and assessment is delivered only by persons who have:
	a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
	b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

Original finding: Compliant

Following rectification: n/a

Evidence Guidance

VET qualifications of trainers and assessors have been verified

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

Jamie Burton

Each trainer must meet at least one of the following four requirements:

- | | | |
|---|-------------------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/> | <input type="checkbox"/> |
| • Diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to diploma or higher qualification in adult education | <input type="checkbox"/> | <input type="checkbox"/> |

Delicia Preston

Each trainer must meet at least one of the following four requirements:

- | | | |
|---|-------------------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/> | <input type="checkbox"/> |



• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Lois Wilkes

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

Joanna Vercoe

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

Keith Redmond

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

The RTO uses assessors that conduct assessment only.
If no, clause is not audited. If yes:

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



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

☐ ☐

Reasons for finding of non-compliance:

Evidence audited:

Staff files for:

Jamie Burton: AHC30710 Certificate III in Horticulture

Delicia Preston: BSB20112 Certificate II in Business

Lois Wikes: CHC30212 Certificate III in Aged Care, and CHC30312 Certificate III in Home and Community Care

Joanna Vercoe: SIT20213 Certificate II in Hospitality

Keith Redmond: TAE40110 Certificate IV in Training and Assessment

The registered providers evidence did not demonstrate that:

Jamie Burton:

Has not continued to develop his vocational education and training (VET) knowledge and skills as well as his industry currency and trainer/assessor competence in accordance with the Standard and the clause.

Delicia Preston, Lois Wilkes, and Joanna Vercoe:

Have not continued to develop their vocational education and training (VET) knowledge and skills as well as their trainer/assessor competence in accordance with the clause

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

Demonstrate evidence that trainers and assessors have continued to maintain their professional development for VET knowledge and skills, and trainer and assessor competence in accordance with the requirements of the standard and the clause.

Demonstrate evidence of a plan at least to the 30 June 2015 of how the RTO will ensure trainers and assessor will continue their professional development for VET knowledge and skills, industry currency, and trainer and assessor competence in accordance with the requirements of the standard and the clause.

Analysis of rectification evidence:

Evidence analysed:

- PP8 Staff Recruitment, Induction, Review and Development policy & procedure
- PF52 PD Record-Delicia Preston
- PF52 PD Record-Jamie Burton
- PF52 PD Record-Joanne Vercoe
- PF52 PD Record-Lois Wickes

The registered provider's evidence demonstrated that the professional development records for Jamie Burton, Delicia Preston, Lois Wickes and Joanna Vercoe have been updated to show that they have continued to maintain their professional development for VET knowledge and skills, and trainer and assessor competence.



1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.			
Original finding: Not audited		Following rectification: n/a	
Evidence guidance		Y	N
People delivering training under supervision are utilised		<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21. If yes:			
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14		<input type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes		<input type="checkbox"/>	<input type="checkbox"/>
1.18 The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:			
a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;			
b) has vocational competencies at least to the level being delivered and assessed; and			
c) has current industry skills directly relevant to the training and assessment being provided.			
Original finding: Not audited		Following rectification: n/a	
Evidence guidance		Y	N
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14		<input checked="" type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes		<input type="checkbox"/>	<input type="checkbox"/>
1.19 Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.			
Original finding: Not audited		Following rectification: n/a	
Evidence guidance		Y	N
Training and assessment complies with Standard 1		<input type="checkbox"/>	<input type="checkbox"/>



1.20	Without limiting Clauses 1.17 - 1.19, the RTO:
	a) determines and puts in place: <ul style="list-style-type: none"> i) the level of the supervision required; and ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
	b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Original finding: Not audited

Following rectification: n/a

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

1.21	Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:
	a) hold the training and assessment qualification at least to the level being delivered; or b) have demonstrated equivalence of competencies.

Original finding: Compliant

Following rectification: n/a

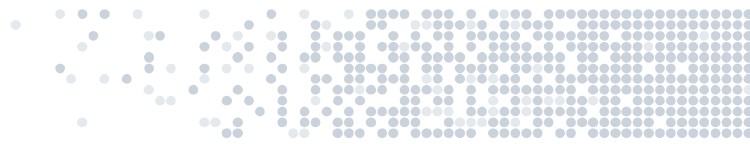
Evidence guidance	Y	N
TAE training product/s are included in the audit scope	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If no, clause is not audited. If yes:		

Keith Redmond

Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAE500001 Assessor skill set must meet at least one of the following eight requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50111 Diploma of Vocational Education and Training or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE50111	<input type="checkbox"/>	<input type="checkbox"/>
• TAE50211 Diploma of Training Design and Development or its successor	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE50211	<input type="checkbox"/>	<input type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input type="checkbox"/>

Keith Redmond

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

1.22	<p>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.</p> <p>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).</p>
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Not audited as clause does not commence until 1 January 2016

1.23	<p>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:</p> <p>a) hold the qualification specified in Item 5 of Schedule 1; or</p> <p>b) work under the supervision of a trainer that meets the requirement set out in (a) above.</p>
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Not audited as clause does not commence until 1 January 2017

1.24	<p>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.</p>
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Not audited as clause does not commence until 1 January 2017

1.25	<p>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).</p>
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Not audited as clause does not commence until 1 January 2016



- 1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:**
- a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;
 - b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;
 - c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and
 - d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

Original finding: Not audited

Following rectification: n/a

Evidence guidance

One or more training products on the RTO's scope of registration has been superseded, removed or deleted since 1 April 2015

If no, clause is not audited. If yes:

Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded

Learners have been completed and issued certification within two years of qualifications being removed or deleted

Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted

Learners are not commenced in training products that have been removed or deleted

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

Y N N/A

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

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

If no, clause is not audited. If yes:

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

Y N

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☐ ☐



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

2.1	The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.
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Original finding: Not compliant	Following rectification: Compliant
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Evidence guidance	Y	N
The RTO is compliant with the clauses sampled across all operations within its scope of registration	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

Evidence audited:

Evidence for Standards 1, 2, 3, 4, 5, 6, 7, 8; clauses 1.1 – 1.20, 2, 3.1 – 3.4, 3.6, 4, 5, 6, 7.3, 8.1, 8.2
The applicants evidence for Standards: 1, 2, 3, 5, 6, 7, & 8; clauses 1.1, - 1.4, 1.8, 1.12, 1.13, 1.16, 2.1, 2.2, 3.2, 3.3, 5.4, 6.2, 6.3, 6.4, & 8.6 was found at the time of audit to not satisfy the requirements for the standards and the respective clauses.

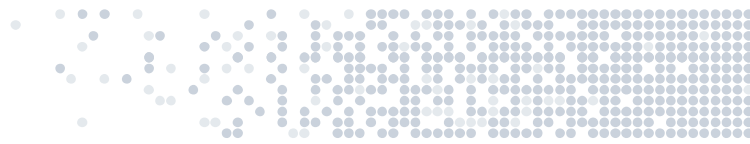
In order to become compliant, the organisation is required to:

Demonstrate that the standards and respective clauses have been rectified to comply with the requirements for the standards and respective clauses.

Analysis of rectification evidence:

Evidence analysed:

The applicants evidence for Standards: 1, 2, 3, 5, 6, 7, & 8; clauses 1.1, - 1.4, 1.8, 1.12, 1.13, 1.16, 2.1, 2.2, 3.2, 3.3, 5.4, 6.2, 6.3, 6.4, & 8.6 was found to satisfy the requirements for the standards and the respective clauses.



2.2	The RTO:
	<ul style="list-style-type: none"> a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N
Training and assessment strategies and practices are systematically monitored, including evaluation of:		
• AVETMISS data	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Quality indicator data	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Validation outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Client feedback	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Trainer and assessor feedback	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Complaints and appeals	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Outcomes of monitoring have informed improvement activities	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

Evidence audited:

- Continuous improvement policy & procedure
- Continuous improvement register
- Student post course survey
- Student & trainer focus group meeting minutes
- Management & staff meeting minutes

The registered provider could not demonstrate that it 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

e.g. it was identified at a learner focus group meeting that resources used in the assessment of the health related qualifications were old and out of date and should be replaced by new resources. This was reported at the registered provider's management meeting but there is no evidence to support that the matter has been actioned further by the registered provider.

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

Demonstrate evidence of how the registered provider systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices.

Analysis of rectification evidence:

Evidence analysed:

- PD30 Continuous Improvement Log
- PP20 Continuous Improvement policy & procedure

The organisation's Continuous Improvement policy (*PP20 Continuous Improvement.docx*) has been amended to prescribe a process for systematically evaluating and using the outcomes of the evaluations to improve the RTO's training and assessment strategies and practices.



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.
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Original finding: Not audited	Following rectification: n/a
Evidence guidance	Y N
Third party arrangements are in place for delivery of services	<input type="checkbox"/> <input type="checkbox"/>
If no, clauses 2.3 – 2.4 are not audited. If yes:	
A written agreement is in place for each arrangement (also refer Clause 8.2)	<input type="checkbox"/> <input type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>	

2.4	The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.
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Original finding: Not audited	Following rectification: n/a
Evidence guidance	Y N N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input type="checkbox"/> <input type="checkbox"/>
The above strategies have been implemented	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>	

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

Original finding: Compliant	Following rectification: n/a
Evidence guidance	Y N
Only learners who have been assessed as meeting the requirements of the training product are issued with AQF certification documentation	<input checked="" type="checkbox"/> <input type="checkbox"/>



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

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☒ ☐
☒ ☐

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

Reasons for finding of non-compliance:

Evidence audited:

Sample Testamur/certificate

Sample Statement of Attainment

Sample extract of register of qualifications issued and maintained

The registered providers testamur/certificate does not satisfy the AQF issuance policy 2.1.6, (f) authenticity of the document, in a form to reduce fraud such as the issuing organisation's seal, corporate identifier or unique watermark, the watermark that the registered provider has applied to their testamur/certificate is in print form only, and can be duplicated by other electronic devices and means, thereby not ensuring the authenticity of the testamur/certificate.

The registered provider's audible register does not satisfy the AQF Qualifications Register Policy 2.3.2 and 2.4.2.

The registered providers auditable register does not identify:

- AQF qualification by its code and full title, and
- AQF qualifications the organisation is authorised to issue, including the full and correct AQF qualification title, the accreditation period, and any caveats. E.g. the registered provider issues statements of attainment for the HLTAID003 Provide first aid which is required to be renewed every three years from date of initial conferral.

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

Demonstrate evidence that:

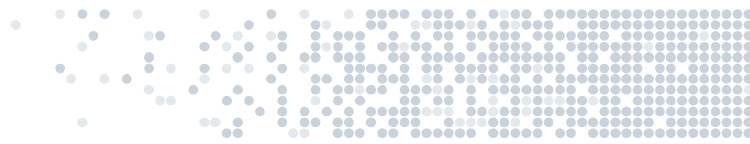
1. The testamur/certificate satisfies the AQF issuance policy 2.1.6, (f) authenticity of the document, in a form to reduce fraud such as the issuing organisation's seal, corporate identifier or unique watermark, the watermark that the registered provider has applied to their testamur/certificate is in print form only, and can be duplicated by other electronic devices and means, thereby not ensuring the authenticity of the testamur/certificate.
2. The registered providers audible register identifies:
 - AQF qualification by its code and full title, and
 - AQF qualifications the organisation is authorised to issue, including the full and correct AQF qualification title, the accreditation period, and any caveats are recorded in the audible register.

Analysis of rectification evidence:

Evidence analysed:

- Amended testamur with imprinted stamp
- Qualification Register

The registered providers evidence demonstrates that the non-compliances with the AQF policies have



been rectified.

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

☐ ☒

Reasons for finding of non-compliance:

Evidence audited:

- Qualification issuance policy and procedure
- Records management policy and procedure
- Student hand book

The registered provider could not demonstrate that 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.

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

Demonstrate evidence that the registered provider will issue AQF certification documentation to learners 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.

Analysis of rectification evidence:

Evidence analysed:

PP10 Issuing AQF Qualifications and Statements of Attainment

The organisation's Issuing Qualifications and Statements of Attainment policy has been amended to include a process for ensuring that AQF certification documentation will be issued to learners 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.



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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

☒ ☐

The above records are accessible to current and past learners

☒ ☐

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Credit is provided to learners for units or modules where evidenced by AQF certification documentation or an authenticated VET transcript (unless licensing or regulatory requirements prevent this)

☒ ☐

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N N/A

Student Identifiers are verified before being used

☒ ☐

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

☒ ☐

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

☒ ☐ ☐

Security of Student Identifiers and related records is ensured

☒ ☐

NOTE – ALL RTOs must comply with Clause 3.6 from 1 January 2015



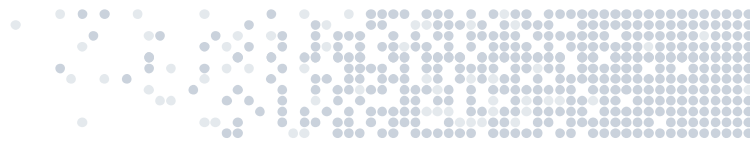
Standard 4.	Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients. To be compliant with Standard 4 the RTO must meet the following:
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4.1	<p>Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:</p> <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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.
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Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• Is accurate and factual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Accurately represents the services provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Only refers to a person or organisation with their consent	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Identifies where a third party is recruiting prospective learners on behalf of the	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



RTO

- | | | | |
|---|-------------------------------------|--------------------------|-------------------------------------|
| • Identifies where training and assessment is being provided on behalf of another RTO | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Identifies where training and assessment is being provided by a third party | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Distinguishes between national recognised training and other training | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Includes the code and title of each training product as per training.gov.au | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Includes accurate information about licensed or regulated outcomes | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Includes details about financial support provided, including VET FEE-HELP | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Includes details about relevant government funding subsidies | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Does not guarantee that a learner:

- | | | |
|--|-------------------------------------|--------------------------|
| • will successfully complete a training product | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • can complete a training product in a manner not compliant with Clauses 1.1 or 1.2 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • will obtain a particular employment outcome unless this is in the control of the RTO | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

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

Following rectification: n/a

Evidence guidance

Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies

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



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

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• Code and title of the training product as per training.gov.au	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Currency of the training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Estimated duration of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Location/s where training and/or assessment will be provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Name and contact details of any third party providing services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Work placement arrangements	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Confirmation that the RTO is responsible for compliance of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Confirmation that the RTO is responsible for issuance of AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Details of the RTO complaints and appeals processes (also refer Clauses 6.1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



– 6.4)

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • The learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • The learner's obligation to repay any VET FEE-HELP debt | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Any entry requirements | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Any materials and equipment the learner must provide | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

- 5.3 Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:**
- a) all relevant fee information including:**
 - i) fees that must be paid to the RTO; and**
 - ii) payment terms and conditions including deposits and refunds;**
 - b) the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;**
 - c) the learner's right to obtain a refund for services not provided by the RTO in the event the:**
 - i) arrangement is terminated early; or**
 - ii) the RTO fails to provide the agreed services.**

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Fees are collected from individual learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes:			
Written information is provided on the following, prior to enrolment or commencement:			
• All fees that must be paid	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Payment terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Refund terms and conditions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• The learner's statutory right to a cooling-off period	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



5.4 Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N N/A

Learners are advised of any changes to agreed services

☐☒☐

Reasons for finding of non-compliance:

Evidence audited:

- Student hand book
- Student orientation/induction procedure
- Staff hand book
- Staff orientation/induction procedure

The registered provider could not demonstrate evidence of how it will advise learners as soon as practicable, where there are any changes to agreed services, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

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

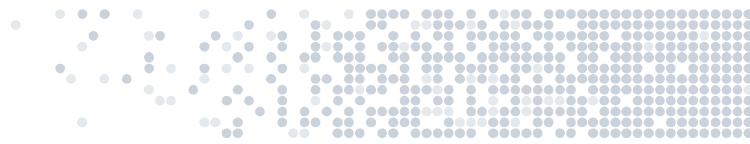
Demonstrate evidence of how the registered provider will advise learners as soon as practicable, where there are any changes to agreed services, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Analysis of rectification evidence:

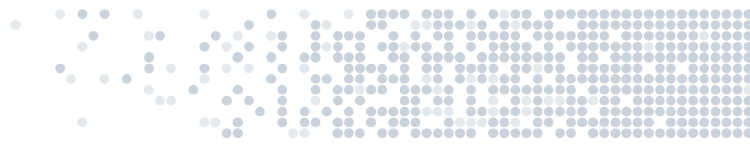
Evidence analysed:

PD32 Service Delivery Warranty

The registered provider's evidence, a new policy and procedure (*PD32 Service Delivery Warranty.docx*) has been created to advise learners as soon as practicable, where there are any changes to agreed services.



Standard 6.	Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. Subject to Clause 6.6, to be compliant with Standard 6 an RTO must meet the following:	
6.1	The RTO has a complaints policy to manage and respond to allegations involving the conduct of: a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a learner of the RTO.	
Original finding: Compliant		Following rectification: n/a
Evidence guidance		Y N
The RTO is an employer or volunteer organisation and:		<input type="checkbox"/> <input checked="" type="checkbox"/>
<ul style="list-style-type: none"> • Learners consist only of employees or members, and • Learners do not pay any fees, and • An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided. 		
If yes to the above, clauses 6.1 – 6.4 are not audited, go to clause 6.5. If no:		
A complaints policy (may be combined with appeals) has been developed to respond to complaints about:		
• The RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• RTO staff	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Third parties	<input type="checkbox"/>	<input type="checkbox"/>



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

☐ ☒

Reasons for finding of non-compliance:

Evidence audited:

- Complaints policy & procedure
- Student hand book
- Student orientation/induction procedure
- Staff hand book
- Staff orientation/induction procedure

The registered provider could not demonstrate that it has an appeals policy to manage requests for a review of decisions, including assessment decisions made for or on behalf of the RTO.

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

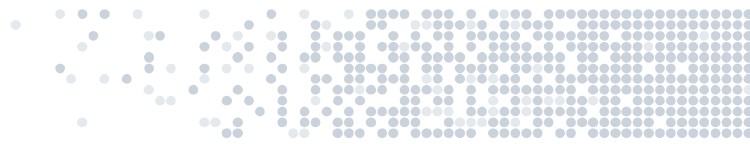
Demonstrate evidence that registered provider has an appeals policy to manage requests for a review of decisions, including assessment decisions made for or on behalf of the RTO.

Analysis of rectification evidence:

Evidence analysed:

- PP22 Complaints and Appeals policy and procedure
- Student hand book
- Student orientation/induction procedure

The registered provider's evidence has been amended to include an appeals procedure to manage requests for a review of decisions, including assessment decisions made for or on behalf of the RTO.



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

Demonstrate evidence how registered provider will ensure the complaints and appeals policy will comply with all aspects of the clause.

Analysis of rectification evidence:

Evidence analysed:

- Complaints policy & procedure

The organisation's Complaints and Appeals policy (*PP22 Complaints and Appeals.docx*) has been amended to ensure that it complies with all aspects of the clause. The policy now includes:

- A procedure for making a complaint or requesting an appeal
- A procedure to ensure appeals and complaints are acknowledged in writing
- Advice on costs associated with a third party review of a complaint or an appeal
- Timeframes for resolutions of complaints and appeals so that complainants know how long it should take to get a response from the RTO at all stages of the process.

- 6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:**
- a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and**
 - b) regularly updates the complainant or appellant on the progress of the matter.**

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

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

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

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

Reasons for finding of non-compliance:

Evidence audited:

- Complaints policy & procedure
- Student hand book
- Student orientation/induction procedure
- Staff hand book
- Staff orientation/induction procedure

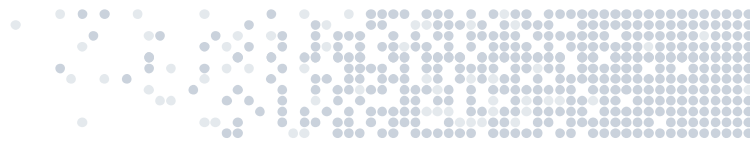
The registered provider does not demonstrate how it ensures where a complaint or appeal takes longer than 60 calendar days to process and finalise the complaint or appeal, the RTO:

- 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.

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

Demonstrate evidence how registered provider will ensure where a complaint or appeal takes longer than 60 calendar days 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.

Analysis of rectification evidence:

Evidence analysed:

- Complaints policy & procedure

The organisation's Complaints and Appeals policy (*PP22 Complaints and Appeals.docx*) has been amended to include a process to ensure that where a complaint or appeal takes longer than 60 calendar days to process and finalise the complaint or appeal Advance will:

- inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- regularly updated the complainant or appellant on the progress of the matter.

6.5 The RTO:

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N N/A

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

☒ ☐ ☐

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

☒ ☐ ☐

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

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

☐ ☐



Standard 7.	The RTO has effective governance and administration arrangements in place. To be compliant with Standard 7 the RTO must meet the following:
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7.1	The RTO ensures that its executive officers or high managerial agent: a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.
------------	---

Not audited

7.2	The RTO satisfies the <i>Financial Viability Risk Assessment Requirements</i>.
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Not audited

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.
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Original finding: Compliant

Following rectification: n/a

Evidence guidance

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

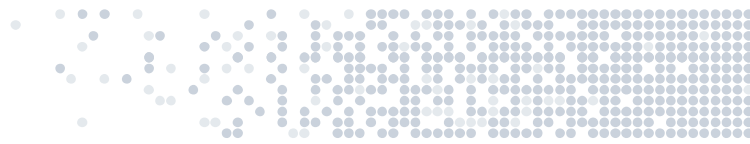
Prepaid fees in excess of \$1,500 are collected from individual learners

If no, clause is not audited. If yes:

Government entities and universities		
The RTO implements a policy addressing learner fee protection arrangements. This policy details how, if the RTO is unable to provide services for which the learner has prepaid, the learner will either :	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Be placed into an equivalent course such that: <ul style="list-style-type: none"> The new location is suitable to the learner The learner receives the full services for which they have prepaid at no additional cost to the learner; or 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> Be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount 	<input type="checkbox"/>	<input type="checkbox"/>

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

Other RTOs		
All learners are protected by one or more of the following		
1. The RTO holds an unconditional financial guarantee from a bank operating in Australia where: <ul style="list-style-type: none"> The guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount for each learner for services to be provided by the RTO to those learners; and 	<input type="checkbox"/>	<input type="checkbox"/>



– All establishment and ongoing maintenance costs for the bank guarantee are met by the RTO		
2. The RTO holds current membership of a Tuition Assurance Scheme approved by ASQA	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Any other fee protection measure approved by ASQA	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
Public liability insurance is in place that:		
• Provides coverage for the RTO	<input type="checkbox"/>	<input type="checkbox"/>
• Covers training and assessment activities	<input type="checkbox"/>	<input type="checkbox"/>

7.5 The RTO provides accurate and current information as required by the <i>Data Provision Requirements</i> as updated from time to time.
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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:
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8.1	The RTO cooperates with the VET Regulator:
	<ul style="list-style-type: none"> a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration; b) in the conduct of audits and the monitoring of its operations; c) by providing quality/performance indicator data; d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring; e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and f) in the retention, archiving, retrieval and transfer of records.

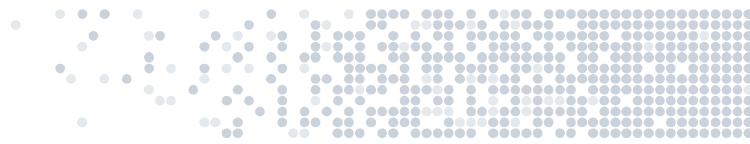
Original finding: Not audited	Following rectification: n/a
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Evidence guidance	Y	N
The RTO co-operates with ASQA:		
• By providing accurate and truthful responses to information requests relevant to the RTO's registration	<input type="checkbox"/>	<input type="checkbox"/>
• In the conduct of audits and the monitoring of its operations	<input type="checkbox"/>	<input type="checkbox"/>
• By providing quality/performance indicator data	<input type="checkbox"/>	<input type="checkbox"/>
• By providing information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO's ability to comply with these standards within 90 days of the change occurring	<input type="checkbox"/>	<input type="checkbox"/>
• In the retention, archiving, retrieval and transfer of records	<input type="checkbox"/>	<input type="checkbox"/>

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:
	<ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) in the conduct of audits and the monitoring of its operations.

Original finding: Not audited	Following rectification: n/a
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Evidence guidance	Y	N
Third party arrangements are in place for delivery of services (also refer Clause 2.3) If no, clause is not audited. If yes:	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Written agreements include a clause requiring that third parties co-operate with ASQA in:		
• Providing accurate and factual responses to information requests from ASQA relevant to the delivery of services	<input type="checkbox"/>	<input type="checkbox"/>
• In the conduct of audits and the monitoring of its operations	<input type="checkbox"/>	<input type="checkbox"/>

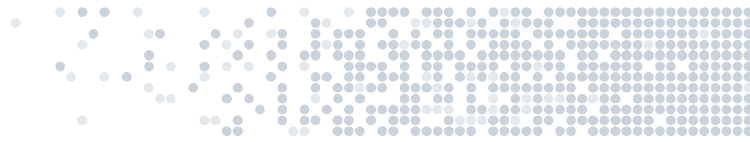


8.3	The RTO notifies the Regulator: a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end.
Not audited	

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

8.5	The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.
Not audited	

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 compliant Following rectification: Compliant	
Evidence guidance	Y N
Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered	<input type="checkbox"/> <input checked="" type="checkbox"/>
<i>Reasons for finding of non-compliance:</i>	
<u>Evidence audited:</u> <ul style="list-style-type: none">• Student hand book• Student orientation/induction procedure• Staff hand book• Staff orientation/induction procedure	
The registered provider did not demonstrate how it ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.	
<i>In order to become compliant, the organisation is required to:</i>	
Demonstrate evidence of how the registered provider will ensure its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.	



Analysis of rectification evidence:

Evidence analysed:

- Student hand book
- Student orientation/induction procedure
- Staff hand book
- Staff orientation/induction procedure
- PD32 Service Delivery Warranty

The registered provider's evidence demonstrates how the registered provider will ensure its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.