

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

ORGANISATION DETAILS	
Organisation's legal name	WATTO TRAINING PTY LTD
Trading name/s	n/a
RTO number	40791
CRICOS number	n/a

AUDIT TEAM	
Lead auditor	Ms Sonja Anders
Auditor/s	n/a
Technical adviser/s	n/a

AUDIT DETAILS	
Application number/s	n/a
Audit number/s	1005082
Audit reason 1	Post initial
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	4 Sibley Street, North Lakes Qld
Date/s of audit	28/01/2015
Organisation's contact for audit	Mr Brendan Scott Watson Director wattotraining@gmail.com 0412985649
Clauses audited	1.1 - 1.21, 1.26, 1.27, 2, 3, 4, 5, 6, 8.2, 8.6

BACKGROUND
<ul style="list-style-type: none">• Brendan Watson is the Chief Executive Officer of this organisation who has been registered since 03/12/13.• The organisational chart consists of the CEO, administration officer and trainers and assessors.• Core clients are car driving instructors.• Delivery is face to face, RPL and distance.• They have partnering arrangements in place with Ian Watsons, Training Wheels, Easy As, Gary Richardson, Trainup, Streetwise, Roadcraft, Graduate School of Motoring, Ian Exintars, I.O.R and Emmanus Driving School.• The organisation delivers primarily in Queensland although they are registered to deliver across Australia.• In the future the organisation is looking to moving from a paper based office to digital (this includes



upgrading current records management system from aXcelerate to Ammonite).
 Total number of current enrolments in RTO as at audit date:

- 5

AUDIT SAMPLE			
Code	Training product	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB40812	Certificate IV in Frontline Management	Face to face; RPL; Distance	0
TAE40110	Certificate IV in Training and Assessment	Face to face; RPL; Distance	0
TLI31210	Certificate III in Driving Operations	Face to face; RPL; Distance	0
TLI41210	Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)	Face to face; RPL; Distance	5
AURTGA3001	Drive and manoeuvre trailers	Face to face; RPL; Distance	0
RIIVEH201D	Operate light vehicle	Face to face; RPL; Distance	0

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

INTERVIEWEES		
Name	Position	Training product
Mr Brendan Watson	Managing Director	All
Ms Jenelle Watson	Manager	n/a

ORIGINAL AUDIT FINDING AT TIME OF AUDIT
Audit finding as at 28/01/2015: Critical non-compliance
<ul style="list-style-type: none"> • 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 16/03/2015: Compliant

AUDIT FINDING BY STANDARD		
Standard	Original finding	Finding following rectification
Standard 1	Not compliant	Compliant
Standard 2	Not compliant	Compliant



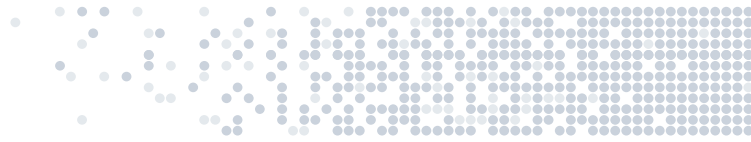
Standard 3	Not compliant	Compliant
Standard 4	Not compliant	Compliant
Standard 5	Not compliant	Compliant
Standard 6	Not compliant	Compliant
Standard 7	Not audited	n/a
Standard 8	Not compliant	Compliant

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:

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

Original finding: Not compliant	Following rectification: Compliant		
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 type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy identifies an amount of training to be provided to learners that is consistent with the requirements of the training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Each strategy has been consistently implemented	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Reasons for finding of non-compliance:

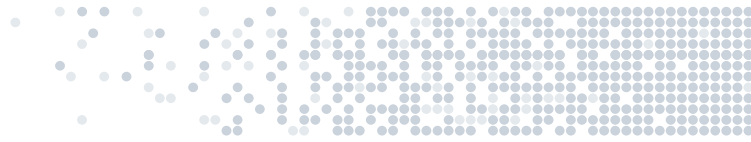
BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
TLI31210 Certificate III in Driving Operations
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- The training and assessment strategy provided for each training product sampled above does not clearly provide a framework to guide the learning requirements and the training and assessment arrangements of each training product.
- The mode of delivery is not consistent with assessment resources, methods and timing, learning human or physical resources and not tailored to the specific qualification. It was more in a generic context.
- For each training and assessment strategy provided there was no clear evidence of the amount of training that is required for each qualification which is consistent with the requirements of the individual training product.
- An industry consultation form is included in the training and assessment strategy but no evidence is clear that this has been applied or implemented.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
TLI31210 Certificate III in Driving Operations
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Provide a training and assessment strategy provided for each training product sampled above that does clearly provide a framework to guide the learning requirements and the training and



assessment arrangements of each training product.

- Provide a training and assessment strategy that outlines the mode of delivery consistently with assessment resources, methods and timing, learning human or physical resources.
- For each training and assessment strategy provide clear evidence of the amount of training that is required for each qualification which is consistent with the requirements of the individual training product.
- Provide clear evidence that the industry consultation form which is included in the training and assessment strategy is applied and has been implemented.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management

TAE40110 Certificate IV in Training and Assessment

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

TLI31210 Certificate III in Driving Operations

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- The organisation provided a training and assessment strategy for each training product sampled above which are consistent with the requirements of the training packages and enables each learner to meet the requirements for each unit of competency in which they are enrolled.

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:

BSB40812 Certificate IV in Frontline Management

TAE40110 Certificate IV in Training and Assessment

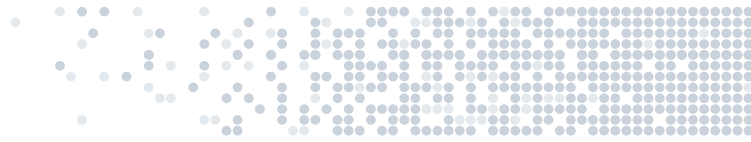
TLI31210 Certificate III in Driving Operations

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- As per clause 1.1 the training and assessment strategies did not demonstrate the amount of training provided is consistent with existing skills, knowledge and experience of learners, the mode/s of delivery and the number of units and/or modules being delivered and are in line with the AQF and AQF volume of learning.



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

- BSB40812 Certificate IV in Frontline Management**
- TAE40110 Certificate IV in Training and Assessment**
- TLI31210 Certificate III in Driving Operations**
- TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)**
- AURTGA3001 Drive and manoeuvre trailers*
- RIIVEH201D Operate light vehicle*

- Provide an updated training and assessment strategy for each of the qualifications and unit of competencies that were sampled at audit as above to meet compliance with Clause 1.1 and 1.2.

Analysis of rectification evidence:

- BSB40812 Certificate IV in Frontline Management**
- TAE40110 Certificate IV in Training and Assessment**
- TLI31210 Certificate III in Driving Operations**
- TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)**
- AURTGA3001 Drive and manoeuvre trailers*
- RIIVEH201D Operate light vehicle*

- The organisation demonstrated compliance for the purposes of Clause 1.1, therefore the organisation 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 mode of delivery.

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

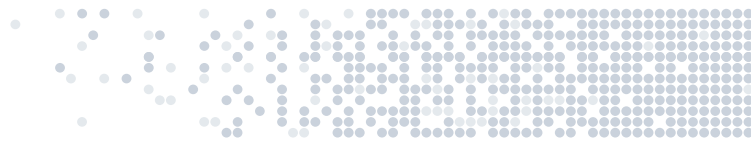
For all training products sampled, there are sufficient:

- | | Y | N |
|--|--------------------------|-------------------------------------|
| • trainers and assessors | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • educational and support services to meet the needs of learners | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • learning resources that address the requirements of all components of the relevant training product and are accessible to all learners | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • facilities and equipment to accommodate the number of learners | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Consistency is evident between each strategy and the above resources	<input type="checkbox"/>	<input checked="" type="checkbox"/>
--	--------------------------	-------------------------------------

Reasons for finding of non-compliance:

- BSB40812 Certificate IV in Frontline Management**
- TAE40110 Certificate IV in Training and Assessment**
- TLI31210 Certificate III in Driving Operations**
- TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)**
- AURTGA3001 Drive and manoeuvre trailers*
- RIIVEH201D Operate light vehicle*



- In the above training products that were sampled trainers and assessors were outlined in the training and assessment strategies but at the time of audit no trainer and assessor profiles were presented to make a determination of compliance.
- Educational and support services were offered but referred the learner to the local TAFE which indicates there is not a mechanism in place for the learner.
- Limited learning resources were available at audit to make a determination that all the learning resources address the requirements of all components of the relevant training product and that they are accessible to all learners.
- Facilities and equipment were limited to the northern suburbs of Brisbane only which limited learners undertaking this course due to the organisation having registration for all states of Australia.
- The training and assessment strategies provided did not demonstrate that the organisation had assessment materials, staff, resources and facilities that meet the requirements of the respective Training Packages. For example; in the qualification TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction) it states that the practical is undertaken with a professional driver. There is no evidence that this professional driver holds the TAE40110 Certificate IV in Training and Assessment or is under supervision to assess this practical component of this assessment.
- It also refers the Learner to a TAFE college for educational and support services. The training and assessment strategies mirror pre enrolment information for a learner and not a strategy for the trainers and assessors.

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

BSB40812 Certificate IV in Frontline Management

TAE40110 Certificate IV in Training and Assessment

TLI31210 Certificate III in Driving Operations

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- Update training and assessment strategies and policies/procedures to reflect a mechanism which is in place for the learner to be referred to a support service that meets their particular needs and geographical area.
- Provide trainers and assessors portfolios see Clauses 1.13 – 1.20 that is in line with the training and assessment strategies to make a determination of compliance.
- Provide learning resources that meet compliance with Clause 1.8.
- Update training and assessment strategies that reflect facilities and equipment for each qualification and unit of competency sampled for all geographical area in the organisations' scope of registration.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management

TAE40110 Certificate IV in Training and Assessment

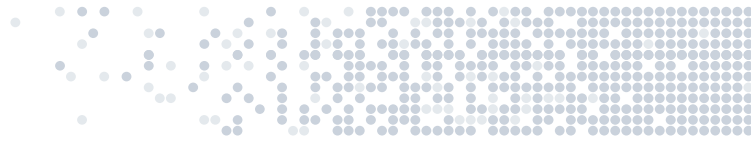
TLI31210 Certificate III in Driving Operations

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- The RTO has, for all of the above qualifications, consistent with its training and assessment strategies, sufficient:
 - trainers and assessors to deliver the training and assessment;
 - educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
 - 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



- o facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

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:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- Training and assessment strategies provided for the above did not reflect consistency with resources and training and assessment practices. Also refer to clauses 1.1, 1.2, 1.3, 1.5, 1.6, 1.7 and 1.8.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- Provide updated training and assessment strategies that reflect consistency with resources including third party arrangements, facilities, resources and training and assessment practices. Also refer to clauses 1.1, 1.2, 1.3, 1.5, 1.6, 1.7 and 1.8.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

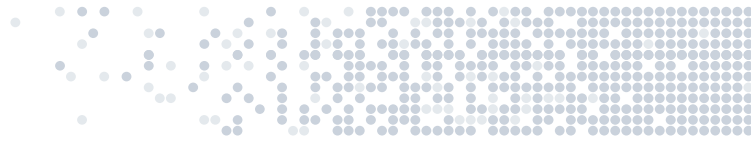
RIIVEH201D Operate light vehicle

- The organisation meets all requirements specified in the relevant training package.

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

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

Evidence guidance	Y	N
Training and assessment practices are informed by and consistent with the outcomes from	<input type="checkbox"/>	<input checked="" type="checkbox"/>



industry engagement strategies

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

Reasons for finding of non-compliance:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Training and assessment strategies indicated that industry consultation has been undertaken however there was no evidence to demonstrate that the RTO’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Provide updated training and assessment strategies that reflect implementation has occurred as a result of industry feedback and/or consultation.

Note: Transition arrangements may apply to this clause as this audit was undertaken prior to 30 June 2015.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

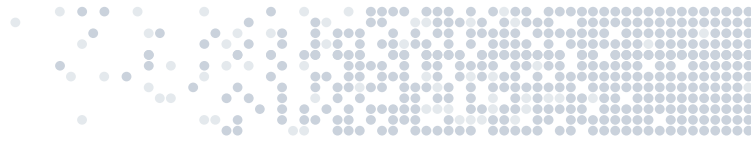
- Updated training and assessment strategies were provided that clearly identifies that the organisation’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.

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: Not compliant

Following rectification: Compliant

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 type="checkbox"/>	<input checked="" 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
- training and assessment practices
- resources, including facilities and equipment
- current industry skills required to be held by trainers and assessors

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

Reasons for finding of non-compliance:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- The industry engagement strategies provided did not provide clear evidence that industry consultation had been implemented and as an outcome have systemically been used to inform training and assessment strategies; training and assessment practices, resources, including facilities and equipment and current industry skills that are required by trainers and assessors.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Provide evidence that the industry strategies developed provide clear evidence that industry consultation has been implemented and as an outcome have been systemically used to inform training and assessment strategies; training and assessment practices, resources, including facilities and equipment and current industry skills that are required by trainers and assessors.

Note: Transition arrangements may apply to this clause as this audit was undertaken prior to 30 June 2015.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- The organisation demonstrated that it implements a range of strategies for industry engagement and systemically uses the outcome of that industry engagement to ensure the industry relevance of:
 - Its training and assessments strategies, practices and resources; and
 - The current industry skills of its trainers and assessors.

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



Original finding: Not compliant	Following rectification: Compliant	
Evidence guidance	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 type="checkbox"/>	<input checked="" type="checkbox"/>
<i>Reasons for finding of non-compliance:</i>		
BSB40812 Certificate IV in Frontline Management TAE40110 Certificate IV in Training and Assessment TLI31210 Certificate III in Driving Operations TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction) <i>AURTGA3001 Drive and manoeuvre trailers</i> <i>RIIVEH201D Operate light vehicle</i> <ul style="list-style-type: none"> Learner support needs were identified in the training and assessment strategies however the organisation has made a generic statement in regards to referring the learner to a TAFE. As scope of registration is Australia wide and not Queensland specific there is not enough detail to meet this clause. 		
<i>In order to become compliant, the organisation is required to:</i>		
BSB40812 Certificate IV in Frontline Management TAE40110 Certificate IV in Training and Assessment TLI31210 Certificate III in Driving Operations TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction) <i>AURTGA3001 Drive and manoeuvre trailers</i> <i>RIIVEH201D Operate light vehicle</i> <ul style="list-style-type: none"> Provide updated training and assessment strategies and a policy/procedure that outlines what support the learner will receive during their enrolment, in particular which TAFE or organisation will assist the learner Australia wide as per nominated delivery locations on scope of registration. 		

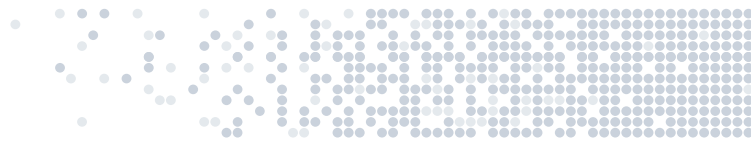
Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- The organisation provided updated training and assessment strategies that clearly determine the support needs of individual learners are provided and that access to the educational and support services are listed if necessary for the individual learner to meet the requirements of the training product as specified in the training package.

1.8	The RTO implements an assessment system that ensures that assessment (including recognition of prior learning): <ol style="list-style-type: none"> a) complies with the assessment requirements of the relevant training package or VET accredited course; and b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.
------------	--

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



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

BSB40812 Certificate IV in Frontline Management

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

BSBLED401A Develop teams and individuals

Assessment tools consist of:

- Aspire learning resource
- Model answers and questions
- trainers and assessor's guide

BSBWHS401A Implement and monitor WHS policies, procedures and programs to meet legislative requirements

Assessment tools consist of:

- Aspire learning resource
- Model answers and questions
- trainers and assessor's guide

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

BSBLED401 A		BSBWHS401 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

BSBLED401 A		BSBWHS401 A		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to



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

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

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

TAEDEL301A Provide work skill instruction

Assessment tools consist of:

- no assessment tools provided

TAEDEL402A Plan, organise and facilitate learning in the workplace

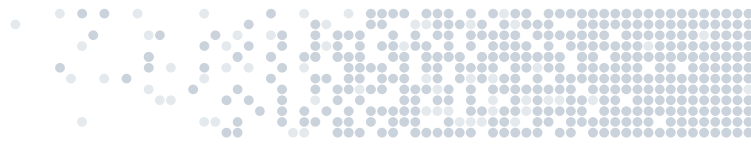
Assessment tools consist of:

- no assessment tools provided

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

TAEDEL301 A		TAEDEL402 A		
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Performance evidence/required skills addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Considers dimensions of competency and transferability

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



TAEDEL301 A		TAEDEL402 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 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

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

TLI31210 Certificate III in Driving Operations

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

TLIC1051A Operate commercial vehicle

Assessment tools consist of:

- Mapping
- Evidence guide
- Learning guide
- Lesson plans
- Trainers assessor guide
- Theory questions and answers
- Practical assessment

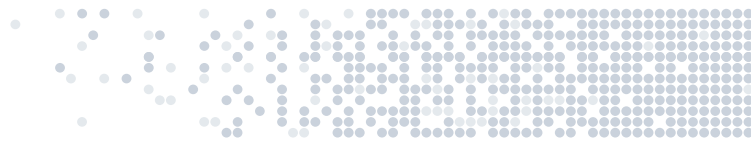
TLIE1005A Carry out basic workplace calculations

Assessment tools consist of:

- National Assessment resource

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

TLIC1051A		TLIE1005A			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Knowledge evidence/required knowledge addressed	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Performance evidence/required skills addressed	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Considers dimensions of competency and transferability

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

TLIC1051A		TLIE1005A			
Y	N	Y	N	Evidence guidance:	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance

Y N N/A

TLI41210 Certificate IV in Transport and Logistics (Road Transport - Car Driving Instruction)

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

TAEDEL301A Provide work skill instruction

Assessment tools consist of:

- no assessment tools provided

TAEDEL402A Plan, organise and facilitate learning in the workplace

Assessment tools consist of:

- no assessment tools provided

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

TAEDEL301A		TAEDEL402A			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Knowledge evidence/required knowledge addressed	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Performance evidence/required skills addressed	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level	



<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Considers dimensions of competency and transferability

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

TAEDEL301 A		TAEDEL402 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 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

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

AURTGA3001 Drive and manoeuvre trailers

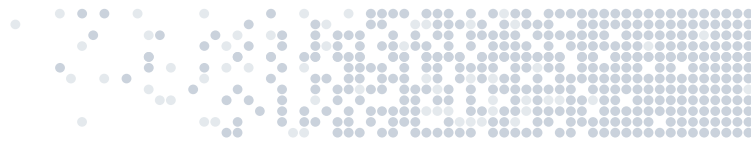
Assessment tools consist of:

- Mapping
- Evidence guide
- Learning guide
- Lesson plans
- Trainer Assessor guide
- Theory assessment
- Theory answers
- Prac assessment record
- Inspection checklist
- Learning resource
- Safety towing guide
- Student file viewed: Noel Pulkington - 4/7/14

RIIVEH201D Operate light vehicle

Assessment tools consist of:

- Mapping



- Learning guide
- Lesson Plans
- Theory question and answers
- Resource
- Prac Book
- Brochure
- Third Party

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

AURTGA300 1		RIIVEH201D		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

AURTGA300 1		RIIVEH201D		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance	Y	N	N/A
Training product			
Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input type="checkbox"/>	



Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------	--------------------------

Unit 1 code and name

Assessment tools consist of:

- briefly list assessment tools

Unit 2 code and name

Assessment tools consist of:

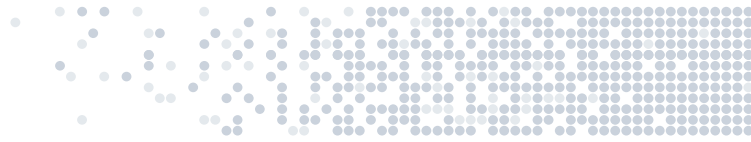
- briefly list assessment tools

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

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

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

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

TAE40110 Certificate IV in Training and Assessment

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

TAEDEL301A Provide work skill instruction

TAEDEL402A Plan, organise and facilitate learning in the workplace

- No assessments tools were provided by the organisation that ensures that assessment (including recognition of prior learning) complies with the assessment requirements of the relevant training package and 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.

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

TAE40110 Certificate IV in Training and Assessment

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

TAEDEL301A Provide work skill instruction

TAEDEL402A Plan, organise and facilitate learning in the workplace

Provide a suite of assessment tools (including recognition of prior learning) that complies with the assessment requirements of the relevant training package and 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.

Analysis of rectification evidence:

TAE40110 Certificate IV in Training and Assessment

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

TAEDEL301A Provide work skill instruction

TAEDEL402A Plan, organise and facilitate learning in the workplace

- The organisation implements an assessment system for the above qualifications that ensures that assessment (including recognition of prior learning):
 - Complies with the assessment requirements of the relevant training package; and
 - Is conducted in accordance with the Principles of Assessment contained in Table 1.1-1 and the Rules of Evidence contained in Table 1.8-2.

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;

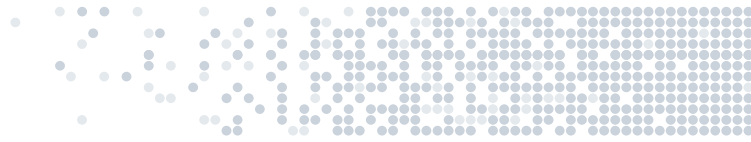
c) who will lead and participate in validation activities; and

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.

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

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

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

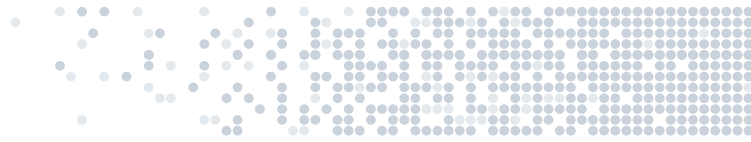
Original finding: Not compliant

Following rectification: n/a

Evidence guidance	Y	N
Validation of assessment has been completed for at least one training product.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If no, clause is not audited. If yes:		
Validation of assessment has been undertaken by one or more persons who, collectively, hold:		
• Relevant vocational competencies and current industry skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Current knowledge and skills in VET teaching and learning	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- BSB40812 Certificate IV in Frontline Management**
- TAE40110 Certificate IV in Training and Assessment**
- TLI31210 Certificate III in Driving Operations**
- TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)**
- AURTG3001 Drive and manoeuvre trailers*
- RIIVEH201D Operate light vehicle*



- For each qualification above no evidence was provided to make a judgement that the person/s that validated the assessment does hold the relevant vocational competencies, current industry skills, current knowledge and skills in VET teaching and learning or hold a *TAE40110 Certificate IV in Training and Assessment* or the *TAESS00001 Assessor skill set*.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- For each qualification provide evidence including a sampling from each third party agreement that is in place to determine compliance that ensures the person/s who validated the assessment does hold the relevant vocational competencies, current industry skills, current knowledge and skills in VET teaching and learning or hold a *TAE40110 Certificate IV in Training and Assessment* or the *TAESS00001 Assessor skill set*.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Systematic validation of the organisation’s assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated; and who collectively have:
 - vocational competencies and current industry skills relevant to the assessment being validated;
 - current knowledge and skills in vocational teaching and learning; and
 - the training and assessment qualification.
- Industry experts were involved in the validation to ensure there is the combination of expertise.

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

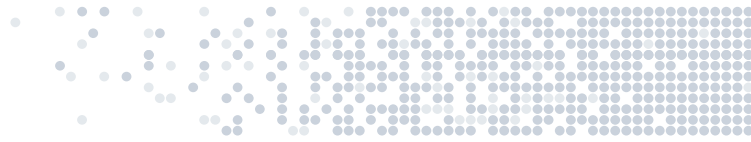
RPL has been offered to individual learners

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

1.13 In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO’s training and assessment is delivered only by persons who have:

- vocational competencies at least to the level being delivered and assessed;**
- current industry skills directly relevant to the training and assessment being provided; and**
- current knowledge and skills in vocational training and learning that informs their training and assessment.**

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



Original finding: Not compliant

Following rectification: n/a

Evidence Guidance

Skills and knowledge of trainers and assessors have been verified

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

Trainer/assessor name

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

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

Reasons for finding of non-compliance:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

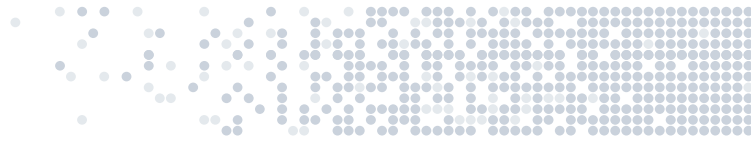
- No evidence was provided at time of audit to determine in addition to the requirements specified in Clause 1.14 and Clause 1.15, the organisation’s training and assessment is delivered only by persons who have:
 - Vocational competencies at least being delivered and assessed;
 - Current industry skills directly relevant to the training and assessment being provided; and
 - Current knowledge and skills in vocational training and learning that informs their training and assessment.

- No evidence was provided that the skills and knowledge of trainers and assessors have been verified.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Provide evidence that the nominated persons as trainer and assessors have:
 - Vocational competencies at least being delivered and assessed;



- Current industry skills directly relevant to the training and assessment being provided; and
- Current knowledge and skills in vocational training and learning that informs their training and assessment.
- Provide evidence that the skills and knowledge of trainers and assessors have been verified, in particular with the third party arrangements that are in place.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

The organisation's training and assessment is delivered by persons who have:

- Vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided; and
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

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

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: Not compliant

Following rectification: Compliant

Evidence Guidance

VET qualifications of trainers and assessors have been verified

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

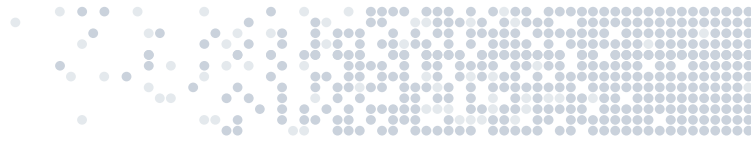
Trainer/assessor name

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

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

Reasons for finding of non-compliance:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle



- No evidence was provided at time of audit to determine that the person/s nominated as the trainer and assessor met one of the four requirements including:
 - TAE40110 Certificate IV in Training and Assessment or its successor
 - Equivalent competencies to TAE40110 (TAA40104 is equivalent)
 - Diploma or higher qualification in adult education
 - Equivalent competencies to diploma or higher qualification in adult education
- No evidence was provided that the VET knowledge of the trainers and assessors has been verified.

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

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Provide evidence that the person/s nominated as the trainer and assessor (including third party arrangements) meets one of the four requirements including:
 - TAE40110 Certificate IV in Training and Assessment or its successor
 - Equivalent competencies to TAE40110 (TAA40104 is equivalent)
 - Diploma or higher qualification in adult education
 - Equivalent competencies to diploma or higher qualification in adult education
- Provide evidence that the VET knowledge of the trainers and assessors has been verified.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- The person/s nominated as the trainer and assessor (including third party arrangements) meets the requirements of this Clause.

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

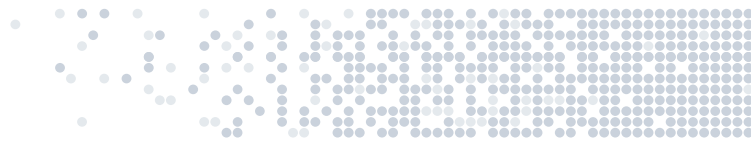
The RTO uses assessors that conduct assessment only.
 If no, clause is not audited. If yes:

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

Assessor name

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

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



TLI31210 Certificate III in Driving Operations

TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)

AURTGA3001 Drive and manoeuvre trailers

RIIVEH201D Operate light vehicle

- The organisation 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.

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:

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14	<input type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes	<input type="checkbox"/>	<input type="checkbox"/>

Trainer name

Each trainer (that conducts training under supervision) must meet at least one of the following six requirements:

- | | | |
|---|--------------------------|--------------------------|
| • TAESS00003 Enterprise trainer and assessor skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAESS00003 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00007 Enterprise trainer – presenting skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAESS00007 | <input type="checkbox"/> | <input type="checkbox"/> |
| • TAESS00008 Enterprise trainer – mentoring skill set or its successor | <input type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAESS00008 | <input type="checkbox"/> | <input type="checkbox"/> |

Each trainer (that conducts training under supervision) must meet all of the following requirements:

- | | | |
|--|--------------------------|--------------------------|
| • Vocational competencies at least to the level being delivered (actual qualification/unit not required) | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|



• Current relevant industry skills	<input type="checkbox"/>	<input type="checkbox"/>
------------------------------------	--------------------------	--------------------------

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

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
Training and assessment complies with Standard 1	<input type="checkbox"/>	<input type="checkbox"/>

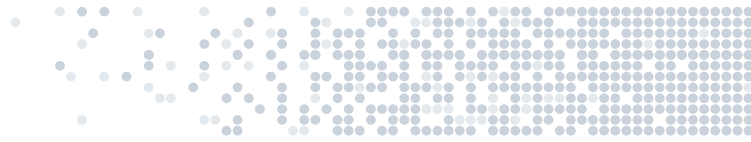
1.20 Without limiting Clauses 1.17 - 1.19, the RTO:
 a) determines and puts in place:
 i) the level of the supervision required; and
 ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
 b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Original finding: Not audited	Following rectification: n/a	
Evidence guidance	Y	N
Supervision arrangements have been identified	<input type="checkbox"/>	<input type="checkbox"/>
People delivering training under supervision have been monitored by the supervising trainer	<input type="checkbox"/>	<input type="checkbox"/>

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

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

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



• TAE50211 Diploma of Training Design and Development or its successor	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Equivalent competencies to TAE50211	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Diploma or higher qualification in adult education	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Equivalent competencies to diploma or higher qualification in adult education	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Trainer and assessor

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

Reasons for finding of non-compliance:

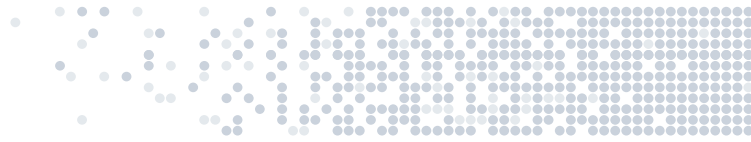
TAE40110 Certificate IV in Training and Assessment

- As no trainer and assessor profiles were presented at time of audit the organisation did not provide any evidence to demonstrate the organisation has ensured its trainers and assessors delivering the training and assessment of units from the TAE10 training package holds the relevant training and assessment qualification at least to the level being delivered or have demonstrated equivalence of competencies or that any intended trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must at least one of the following eight requirements:
 - TAE40110 Certificate IV in Training and Assessment or its successor
 - Equivalent competencies to TAE40110 (TAA40104 is equivalent)
 - TAE50111 Diploma of Vocational Education and Training or its successor
 - Equivalent competencies to TAE50111
 - TAE50211 Diploma of Training Design and Development or its successor
 - Equivalent competencies to TAE50211
 - Diploma of higher qualification in adult education
 - Equivalent competencies to diploma or higher qualification in adult education
- Or; each trainer and assessor that that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:
 - Hold a TAE training product at least to the level being delivered
 - Equivalent competencies to the above.

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

TAE40110 Certificate IV in Training and Assessment

- Provide evidence that nominated persons as trainer and assessors (including third parties) provide evidence to demonstrate the organisation has ensured its trainers and assessors delivering the training and assessment of units from the TAE10 training package hold the relevant training and assessment qualification at least to the level being delivered or have demonstrated equivalence of competencies or that any intended trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must at least one of the following eight requirements:
 - TAE40110 Certificate IV in Training and Assessment or its successor
 - Equivalent competencies to TAE40110 (TAA40104 is equivalent)



- TAE50111 Diploma of Vocational Education and Training or its successor
- Equivalent competencies to TAE50111
- TAE50211 Diploma of Training Design and Development or its successor
- Equivalent competencies to TAE50211
- Diploma of higher qualification in adult education
- Equivalent competencies to diploma or higher qualification in adult education
- And; each trainer and assessor that that intends to deliver any training product from the TAE10 Training and Education Training Package (excluding TAE40110 Certificate IV in Training and Assessment and TAESS00001 Assessor skill set) must meet one of the following requirements:
 - Hold a TAE training product at least to the level being delivered
 - Equivalent competencies to the above.

Analysis of rectification evidence:

TAE40110 Certificate IV in Training and Assessment

- The organisation demonstrated that its trainers and assessors delivering the training and assessment did hold the training and assessment qualification at least to the level being delivered.

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

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

Not audited as clause does not commence until 1 January 2016

1.23 From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

- a) hold the qualification specified in Item 5 of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

Not audited as clause does not commence until 1 January 2017

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

Not audited as clause does not commence until 1 January 2017

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

Not audited as clause does not commence until 1 January 2016



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

Original finding: Compliant

Following rectification: n/a

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

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

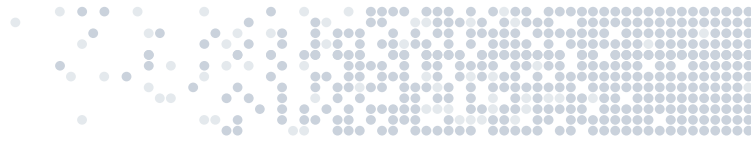
1.27 The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency If no, clause is not audited. If yes:	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The superseded unit of competency has continued to be delivered as required by training product packaging rules	<input type="checkbox"/>	<input type="checkbox"/>

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



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

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

The RTO is compliant with the clauses sampled across all operations within its scope of registration

Reasons for finding of non-compliance:

- As non-compliances have been identified at audit this demonstrates the RTO has not ensured 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.

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

- Provide evidence that satisfactorily rectifies all of the areas of non-compliance identified in the audit report.

Analysis of rectification evidence:

- The organisation satisfactorily rectified all of the areas on non-compliance which ensures it complies with these Standards at all times.

2.2 The RTO:

- systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and**
- systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.**

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

Training and assessment strategies and practices are systematically monitored, including evaluation of:

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

Outcomes of monitoring have informed improvement activities

2.3 The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

Original finding: Compliant

Following rectification: n/a



Evidence guidance	Y	N
Third party arrangements are in place for delivery of services If no, clauses 2.3 – 2.4 are not audited. If yes:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A written agreement is in place for each arrangement (also refer Clause 8.2)	<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>		

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

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

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 checked="" type="checkbox"/>	
The above strategies have been implemented	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>			

Reasons for finding of non-compliance:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- For each qualification and unit of competency outlined above a third party agreement was in place but no evidence was provided that the organisation will systematically monitor these services to ensure compliance with the Standards at all times.

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

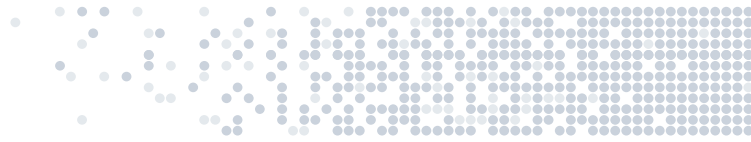
BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- Provide evidence that the organisation will systematically monitor each third party agreement in place to ensure compliance with the Standards at all times.

Analysis of rectification evidence:

BSB40812 Certificate IV in Frontline Management
TAE40110 Certificate IV in Training and Assessment
TLI31210 Certificate III in Driving Operations
TLI41210 Certificate IV in Transport and Logistics (Road Transport – Car Driving Instruction)
AURTGA3001 Drive and manoeuvre trailers
RIIVEH201D Operate light vehicle

- The organisation has sufficient strategies and resources to systematically monitor any services delivered on its behalf; and ensure that the services delivered do comply with these Standards at all times.



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

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

Original finding: Compliant	Following rectification: n/a	
Evidence guidance	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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Complies with the requirements of Schedule 5 to these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• A register of all qualifications issued is maintained	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Reference: AQF Qualifications Issuance Policy , AQF Qualifications Register Policy		

Reasons for finding of non-compliance:

- At time of audit only one student file was presented therefore it is not clear that the register of all qualifications issued are maintained in accordance with AQF Qualifications Issuance Policy and AQF Qualifications Register Policy.

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

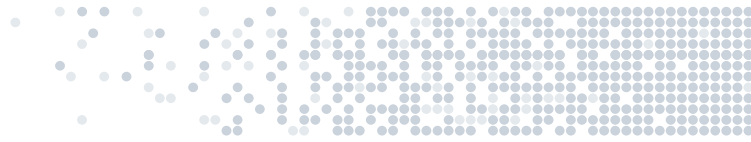
- Provide evidence that student records are maintained and in line with the AQF Qualifications Issuance Policy and AQF Qualifications Register Policy.

Analysis of rectification evidence:

- The organisation ensured that all student records are maintained and in line with the AQF Qualifications Issuance Policy and AQF Qualifications Register Policy and meets the requirements of Schedule 5.

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

Original finding: Compliant	Following rectification: n/a	
Evidence guidance	Y	N
AQF certification documentation is issued within 30 days of all requirements being met	<input checked="" type="checkbox"/>	<input type="checkbox"/>



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: Not compliant **Following rectification:** Compliant

Evidence guidance	Y	N
Records of qualifications and statements of attainment issued, sufficient to enable reissuance, are retained for a period of 30 years	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The above records are accessible to current and past learners	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

- Records were not easy accessible at time of audit to access current and past learners

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

- Provide evidence that there is a mechanism in place that records will be accessible for current and past learners.

Analysis of rectification evidence:

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

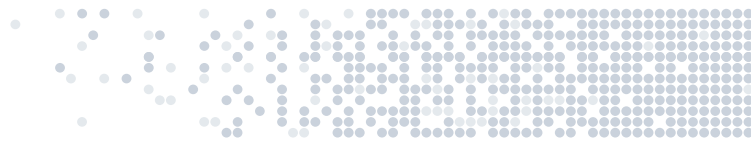
3.5 The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:
a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
b) authenticated VET 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)	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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
Advertising and marketing:			
• Is accurate and factual	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• Accurately represents the services provided	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• Accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Only refers to a person or organisation with their consent	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Identifies where a third party is recruiting prospective learners on behalf of the RTO	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Identifies where training and assessment is being provided on behalf of another RTO	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Identifies where training and assessment is being provided by a third party	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Includes details about relevant government funding subsidies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Reasons for finding of non-compliance:

- After viewing the organisation's marketing material including course brochures and the website it was clear that there was no reference to any third party arrangements that are in place therefore it is not accurate and factual and does not clearly represent the services that will be provided by the third party.

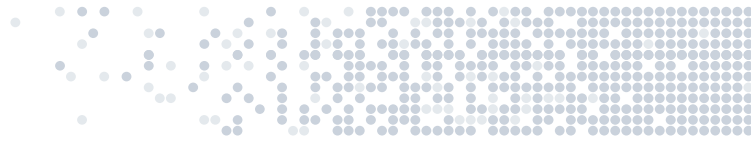
In order to become compliant, the organisation is required to:

- Provide updated marketing materials that clearly identifies who the partners are and what services they are providing on behalf of the organisation, for example; identify which qualifications will be delivered and who will be delivering them and where as in location. At the moment the website mentions that the courses are delivered in southern Qld but the organisation is registered to deliver across Australia.

Analysis of rectification evidence:

- Updated marketing materials were provided that ensures the organisation is ensuring transparency and accurate information about services and performance which is accessible to prospective and current learners and clients of the organisation, regardless of any arrangements to have this information distributed on behalf of the organisation. This information enables prospective and current learners and clients to make informed decisions regarding their training and/or assessment needs.

Standard 5. Each learner is properly informed and protected.



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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

5.2 Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

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

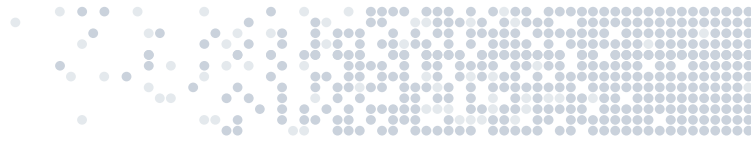
Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N N/A

Prior to enrolment or commencement, written information is provided on the following:



- | | | | |
|--|-------------------------------------|-------------------------------------|-------------------------------------|
| • Code and title of the training product as per 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 checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Work placement arrangements | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Confirmation that the RTO is responsible for compliance of training and/or assessment | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • Confirmation that the RTO is responsible for issuance of AQF certification documentation | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • Details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| • The learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| • The learner’s obligation to repay any VET FEE-HELP debt | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Any entry requirements | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" 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 type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Reasons for finding of non-compliance:

- Information provided to students prior to enrolment did not outline or inform them of any third party arrangements including contact details which are in place with the organisation. Also it did not provide the learner will any information is responsible for the training and assessment and the issue of AQF certification documentation.

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

- Provide amended documentation which is provided to learners prior to enrolment that outlines third party contact details, information in regards that the organisation is responsible for the training and assessment and for the issue of the AQF certification documentation.

Analysis of rectification evidence:

- Amended documentation provided (enrolment form) informs learners prior to enrolment the details of who is responsible for the training and assessment and for the issue of the AQF certification documentation which enables the learner to make an informed decision about undertaking training with the organisation.

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 If no, clause is not audited. If yes: Written information is provided on the following, prior to enrolment or commencement:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<ul style="list-style-type: none"> • All fees that must be paid • Payment terms and conditions • Refund terms and conditions • The learner's statutory right to a cooling-off period 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input 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	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

- No documentation was presented at audit which outlines that the RTO will advise the learner 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:

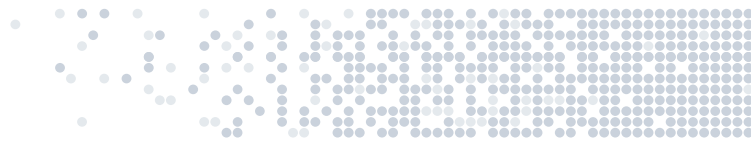
- Provide documentation that outlines that the RTO will advise the learner of any new third party arrangements or a change in ownership or of any changes to the existing third party arrangements.

Analysis of rectification evidence:

- Information was provided that the organisation is aware that where there are any changes to agreed services, the organisation 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.

**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: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

The RTO is an employer or volunteer organisation and:

- Learners consist only of employees or members, and
- Learners do not pay any fees, and
- An organisational complaints and appeals policy is in place broad enough to cover all training and/or assessment services provided.

If yes to the above, clauses 6.1 – 6.4 are not audited, go to clause 6.5. If no:

A complaints policy (may be combined with appeals) has been developed to respond to complaints about:

- The RTO
- RTO staff
- Learners
- Third parties

Reasons for finding of non-compliance:

- There was no evidence provided that ensures the complaints policy in place has been developed to respond to complaints about third parties.

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

- Provide an updated complaints policy that has been developed to respond to complaints about third parties.

Analysis of rectification evidence:

- The organisation has a complaints policy to manage and respond to allegations involving the conduct of a third party providing services on the organisation's behalf, its trainers, assessors or other staff.

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

Original finding: Compliant

Following rectification: n/a

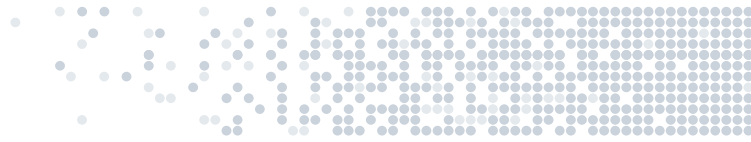
Evidence guidance

Y N

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

6.3 The RTO's complaints policy and appeals policy:

- a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- b) are publicly available;
- c) set out the procedure for making a complaint or requesting an appeal;
- d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and



e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

The complaints and appeals policy/ies:

- Adopt the principles of natural justice and procedural fairness by:
 - Informing those involved of the allegations
 - Providing those involved an opportunity to present their side of the matter
 - Operating in a fair and unbiased way
- Are publicly available
- Include a procedure for submitting a complaint or appeal
- Ensure complaints and appeals are acknowledged in writing
- Ensure complaints and appeals are finalised as soon as practicable
- Provide for review of complaints and appeals by an independent party

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N N/A

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

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

6.5 The RTO:

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

Original finding: Compliant

Following rectification: n/a

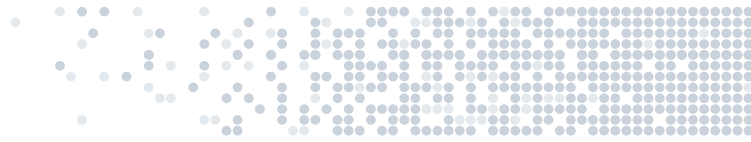
Evidence guidance

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 compliant

Following rectification: Compliant

Evidence guidance

Y N

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

Reasons for finding of non-compliance:

- A complaints and appeals policy was sighted at audit but it was not broad enough to cover all training and/or assessment services that are provided through the third party arrangements.

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

- Provide an updated complaints and appeals policy that is broad enough and includes all training and/or assessment services that are provided through the third party arrangements.

Analysis of rectification evidence:

- The organisation has a complaints policy to manage and respond to allegations involving the conduct of a third party providing services on the organisation's behalf, its trainers, assessors or other staff.

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

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 *Financial Viability Risk Assessment Requirements*.

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.

Original finding: Not audited

Following rectification: n/a

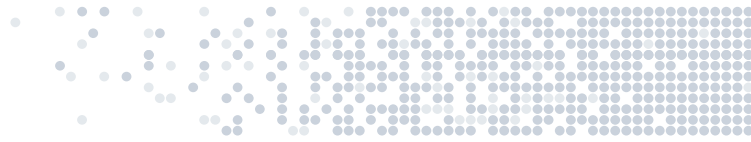
Evidence guidance

Y N

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

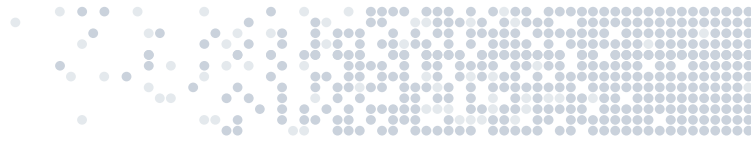
Following rectification: n/a

Evidence guidance	Y	N
Public liability insurance is in place that:		
<ul style="list-style-type: none"> • Provides coverage for the RTO 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Covers training and assessment activities 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Not audited

Standard 8. The RTO cooperates with the VET Regulator and is legally compliant at all times. To be compliant with Standard 8 the RTO must meet the following:



ASQA relevant to the delivery of services and in the conduct of audits and the monitoring of its operations.

Analysis of rectification evidence:

- The organisation provided evidence that ensure that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:
 - By providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
 - In the conduct of audits and the monitoring of its operations.

8.3 The RTO notifies the Regulator:

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

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

Not audited

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

a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and

b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Not audited

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

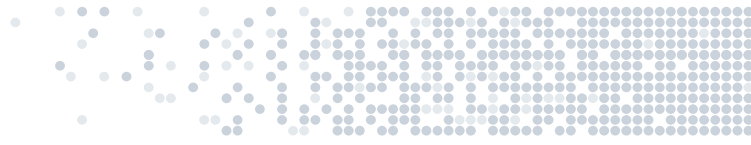
Staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered

Reasons for finding of non-compliance:

- No evidence was provided at audit that staff and clients are informed of changes to legislative and regulatory requirements that affect the services delivered.

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

- Provide evidence on how the organisation intended to notify staff and clients of changes to legislative and regulatory requirements that affect the services delivered.



Analysis of rectification evidence:

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