



## Audit report – VET Quality Framework

### Standards for Registered Training Organisations 2015

#### ORGANISATION DETAILS

Organisation's legal name:	GROW Training Group Pty Ltd
Trading name/s:	Bookkeeping Training Academy; Grow Business Training Academy; GROW Care Academy; Health Training Academy; MumsInc; Start Your Career; GROW Online & Distance Education
RTO number:	N/A
CRICOS number:	N/A

#### AUDIT TEAM

Lead auditor:	Christine Williams
Assistant/s:	Karen Noble
Technical advisor/s:	N/A

#### AUDIT DETAILS

Application number/s:	INTVET0001622		
Audit number/s:	AUDREC0006956		
Audit reason 1:	Application - initial		
Audit reason 2:	n/a		
Audit reason 3:	n/a		
Activity type:	Site visit		
Address of site/s visited:	5, 109 West Burleigh Road, Burleigh Waters Qld 4220		
Date/s of audit:	16, 17, 18, 19 January 2017		
Organisation's contact for audit:	Mrs Michelle Hague michelle@grow.edu.au	Managing Director 0400765753	
Clauses audited:	1.1, 1.2, 1.3, 1.5, 1.7, 1.8, 1.13 – 1.16, 2.3, 2.4, 3.1, 4.1, 5.2, 5.3, 8.2.		
Clauses not audited:	1.4, 1.6, 1.9 – 1.2, 1.17 – 1.27, 2.1, 2.2, 3.2 – 3.6, 5.1, 5.4, 6.1 – 6.6, 7.1 – 7.5, 8.1, 8.3 – 8.6.		
Clauses not-compliant at audit:	1.1, 8.2.		
Clauses compliant at audit:	1.2, 1.3, 1.5, 1.7, 1.8, 1.13 – 1.16, 2.3, 2.4, 3.1, 4.1, 5.2, 5.3, 8.2.		

#### BACKGROUND

- GROW Training Group Pty Ltd's current organisational structure consists of Ms Michelle Hague – Director and CEO, Ms Kyla Ryan – Course Coordinator and Briana Parsons – Student services Coordinator. The organisation intends to employ an additional 5 persons as trainer/assessors and admin assistants as the business builds.



- The organisation currently delivers a range of non-accredited professional and personal development workshops and courses.
- GROW has also been providing training and assessment services under a third party arrangement with Training Management Pty Ltd T/A Traxion Training (RTO: 32254) for approximately 4 years.
- The organisation does not intend to have any partnership or outsourcing arrangements in the first instance.
- Core Target market is for Individuals seeking to improve or change career options, and employers seeking to upskill their workforce, and/or those seeking to retrain to re-enter the workforce.
- Fee revenue sources targeted are fee for service learners. Once the organisation is granted RTO registration it will seek to apply for state funding when eligible.
- The organisation's only permanent delivery venue is: 5, 109 West Burleigh Road, Burleigh Waters Qld 4220

**Note:**

The organisation's application consisted of 27 qualifications. During the audit site visit the organisation's representative Ms Michelle Hague advised the Lead Auditor of a business decision to remove all qualifications other than BSB30115, BSB30415, CPC32015, CPC33015 and the FNS finance qualifications. A written request was emailed to the Lead Auditor post closing meeting on 19 January 2016.

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

- N/A

#### AUDIT SAMPLE

Code	Training products	Mode/s of delivery / assessment*	Current enrolments (If not yet on scope, record N/A)
<b>BSB30115</b>	Certificate III in Business	Classroom, Online, Distance, RPL, Workplace, Blended (combination of all)	N/A
<b>BSB30415</b>	Certificate III in Business Administration	"	N/A
<b>BSB40215</b>	Certificate IV in Business	"	N/A
<b>BSB41015</b>	Certificate IV in Human Resources	"	N/A
<b>BSB41515</b>	Certificate IV in Project Management Practice	"	N/A
<b>BSB42015</b>	Certificate IV in Business	"	N/A
<b>BSB42615</b>	Certificate IV in New Small Business	"	N/A
<b>BSB50215</b>	Diploma of Business	"	N/A
<b>BSB50615</b>	Diploma of Human Resources Management	"	N/A
<b>BSB51415</b>	Diploma of Project Management	"	N/A



<b>BSB51915</b>	Diploma of Leadership and Management	“	N/A
<b>CHC30113</b>	Certificate III in Early Childhood Education and Care	“	N/A
<b>CHC30213</b>	Certificate III in Educational Support	“	N/A
<b>CHC32015</b>	Certificate III in Community Services	“	N/A
<b>CHC33015</b>	Certificate III in Individual Support	“	N/A
<b>CHC40213</b>	Certificate IV in Educational Support	“	N/A
<b>CHC40413</b>	Certificate IV in Youth Work	“	N/A
<b>CHC43115</b>	Certificate IV in Disability	“	N/A
<b>CHC43315</b>	Certificate IV in Mental Health	“	N/A
<b>CHC50113</b>	Diploma of Early Childhood Education and Care	“	N/A
<b>CHC52015</b>	Diploma of community services	“	N/A
<b>FNS30115</b>	Certificate III in Financial Services	“	N/A
<b>FNS30315</b>	Certificate III in Accounts Administration	“	N/A
<b>FNS40215</b>	Certificate IV in Bookkeeping	“	N/A
<b>FNS40615</b>	Certificate IV in Accounting	“	N/A
<b>FNS50215</b>	Diploma of Accounting	“	N/A
<b>HLT37315</b>	Certificate III in Health Administration	“	

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

## INTERVIEWEES

Name	Position	Training products
Mrs Michelle Hague	Managing Director	Finance and Business – see Trainer and Assessor Profile
Ms Kyla Ryan	Course Coordinator	BSB41015, BSB50615

## ORIGINAL FINDING AT TIME OF AUDIT

### Audit finding: Compliant

**Report completed by:** Christine Williams

**Date:** 16, 17, 18, 19 January 2016

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



## AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on [Click here to enter a date.](#): n/a

Report completed by: Auditor name

Date: [Click here to enter a date.](#)

## AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
Standard 1	Not compliant	n/a
Standard 2	Compliant	n/a
Standard 3	Compliant	n/a
Standard 4	Compliant	n/a
Standard 5	Compliant	n/a
Standard 6	Not audited	n/a
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 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.



<b>STANDARD 1</b>	<b>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.</b> <b>To be compliant with Standard 1 the RTO must meet the following:</b>
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#### Clause 1.1

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

**Original finding:** Not compliant

**Following rectification:** n/a

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

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

- The organisation's strategies identify various delivery modes such as distance, online and in the workplace. The strategies do not outline how the organisation is going to manage each cohort to ensure the learner has access to all resources, including assessment resources (including RPL) to conduct valid assessment against each requirement of the relevant training package.
- The organisation will be intending to enrol various cohorts such as those already in the workplace, new entry learners face-to-face at the RTO/rented venue/s. The organisation also intends enrolling learners who require work placement. The strategies do not articulate how each cohort will be managed.
- Training and assessment strategies identify clustering and in some instances holistic delivery arrangements; however, strategies do not identify exit points. Should a student exit the program of learning prior to the completion of the clustered units then each unit could be considered not complete and the learner not having been assessed on all aspects of each unit of competency to have an outcome of competent. This could lead to a student's Statement of Attainment or Academic Transcript for a qualification identifying the student to be competent in unit/s for which they have not fully completed and therefore not assessed as competent to meet training package/industry standards.
- Where a unit of competency requires access to 'relevant workplace documentation and resources' the strategies do not identify how a learner, specifically those who are not in the workplace, will gain access to these resources. A rented training room may not suffice for a simulated environment.

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

- Provide its revised training and assessment strategies for all products on its application which clearly outline the process the organisation will use to ensure all aspects of the training package requirements are made accessible to the learner for a valid and reliable outcome.



#### Clause 1.2

For the purposes of [Clause 1.1](#), the RTO determines the amount of training they provide to each learner with regard to:

- a) the existing skills, knowledge and the experience of the learner;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

**Original finding:** Compliant

**Following rectification:** n/a

Evidence guidance	Y	N
For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the existing skills, knowledge and experience of learners	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the number of units and/or modules being delivered	<input checked="" type="checkbox"/>	<input type="checkbox"/>

#### Clause 1.3

The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

**Original finding:** Compliant

**Following rectification:** n/a

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

#### Clause 1.4

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

**Original finding:** Not audited

**Following rectification:** n/a

#### Clause 1.5

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



**Original finding:** Compliant

**Following rectification:** n/a

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

#### **Clause 1.6**

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

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 1.7**

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

**Original finding:** Compliant

**Following rectification:** n/a

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

#### **Clause 1.8**

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

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

**Table 1.8.1 Principles of Assessment**

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>• reflecting the learner's needs;</li> <li>• assessing competencies held by the learner no matter how or where they have been acquired; and</li> <li>• drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p>





	<ul style="list-style-type: none"> <li>• assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;</li> <li>• assessment of knowledge and skills is integrated with their practical application;</li> <li>• assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.
Table 1.8.2 Rules of Evidence	
Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

**Original finding:** Not audited

**Following rectification:** n/a

Evidence guidance	Y	N
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### BSB30115 Certificate III in Business

BSBCMM301 Process customer complaints

BSBITU306 Design and produce business documents

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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### BSB30415 Certificate III in Business Administration

BSBCMM301 Process customer complaints

BSBFIA304 Maintain a general ledger

Assessment complies with the assessment requirements of the relevant training package or VET accredited course.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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### CHC32015 Certificate III in Community Services (Units developed by GROW)

BSBWOR301 Organise personal work priorities and development (Developed by GROW)





#### CHCCS015 Provide individualised support (Developed by GROW)

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐

#### CHC33015 Certificate III in Individual Support (Units developed by GROW)

BSBWOR301 Organise personal work priorities and development (Developed by GROW)

CHCCS015 Provide individualised support (Developed by GROW)

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐

#### FNS30115 Certificate III in Financial Services (Units developed by GROW)

BSBCMM301 Process customer complaints

BSBITU306 Design and produce business documents

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐

#### FNS30315 Certificate III in Accounts Administration (Units developed by GROW)

BSBCMM301 Process customer complaints

BSBFIA304 Maintain a general ledger

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐

#### FNS40215 Certificate IV in Bookkeeping (Units developed by GROW)

BSBITU306 Design and produce business documents

FNSBKG404 Carry out a BAS and IAS tasks

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐



### **FNS40615 Certificate IV in Accounting (Units developed by GROW)**

BSBITU306 Design and produce business documents

FNSBKG404 Carry out a BAS and IAS tasks

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐

### **FNS50215 Diploma of Accounting (Units developed by GROW)**

FNSBKG404 Carry out a BAS and IAS tasks

FNSACC504 Prepare financial reports for corporate entities

Assessment complies with the assessment requirements of the relevant training package or VET accredited course. ☒ ☐

Assessment is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of evidence contained in Table 1.8-2 ☒ ☐

Note: refer note at Background within this report. This audit report only reflects those qualifications evaluated at Clause 1.8.

#### **Clause 1.9**

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

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 1.10**

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 1.11**

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

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



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

**Original finding:** Not audited

**Following rectification:** n/a

**Evidence guidance**

**Y**

**N**

Validation of assessment has been completed for at least one training product.

☐

☒

If no, clause is not audited. If yes:

**Clause 1.12**

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

**Original finding:** Not audited

**Following rectification:** n/a

**Clause 1.13**

**In addition to the requirements specified in [Clause 1.14](#) and [Clause 1.15](#), the RTO's training and assessment is delivered only by persons who have:**

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

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

**Original finding:** Compliant

**Following rectification:** n/a

**Evidence guidance**

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

Trainer / Assessor name	Training product code/s delivered	1.13 (a)		1.13 (b)		1.13 (c)	
		Y	N	Y	N	Y	N
Monique Cheeseman	CHC33015 Certificate III in Individual Support CHC43115 Certificate IV in Disability CHC43315 Certificate IV in Mental Health CHC50215 Diploma of Community Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Nicole Doon	BSB30115 Certificate III in Business BSB30415 Certificate III in Business Admin FNS30115 Certificate III in Financial Services FNS30315 Certificate III in Accounts Administration FNS40215 Certificate IV in Bookkeeping FNS40615 Certificate IV in Accounting	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Michele Hague	BSB40215 Certificate IV in Business BSB42015 Certificate IV in Leadership & Management BSB42615 Certificate IV in New Small Business Management BSB41515 Certificate IV in Project Management Practice BSB50215 Diploma of Business BSB51415 Diploma of Project Management BSB51915 Diploma of Leadership & Management FNS50210 Diploma of Accounting	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Jayde MacKay	CHC30213 Certificate III in Education Support	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Briana Parsons	BSB30415 Certificate III in Business Admin BSB30115 Certificate III in Business HLT37315 Certificate III in Health Admin FNS30115 Certificate III in Financial Services FNS30315 Certificate III in Accounts Admin	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Kyla Ryan	BSB40215 Certificate IV in Human Resources Management BSB50615 Diploma of Human Resources Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Phellicica Simpson	CHC30213 Certificate III Education Support CHC30215 Certificate III Community Services CHC40213 Certificate IV in Education Support CHC43315 Certificate IV Mental Health CHC41808 Certificate IV Youth Work	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Kirsten Winterfield	CHC30113 Certificate III in Early Childhood Education and Care CHC50113 Diploma of Early Childhood Education and Care	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

#### Clause 1.14

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

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

**Original finding:** Compliant

**Following rectification:** n/a

Evidence guidance	Y	N
VET qualifications of trainers and assessors have been verified	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Trainer / Assessor name	Schedule 1 Item 1		Schedule 1 Item 2	
	Y	N	Y	N
Monique Cheeseman	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nicole Doon	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Michele Hague	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Jayde MacKay	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Briana Parsons	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Kyla Ryan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Phellicica Simpson	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Kirsten Winterfield	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor  
 Schedule 1, Item 2: A Diploma or higher level qualification in adult education

#### Clause 1.15

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N
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The RTO uses assessors that conduct assessment only.

☒ ☐

If no, clause is not audited. If yes:

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

Assessor name	Schedule 1 Item 1		Schedule 1 Item 2		Schedule 1 Item 3	
	Y	N	Y	N	Y	N
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor  
 Schedule 1, Item 2: A Diploma or higher level qualification in adult education  
 Schedule 1, Item 3: TAESS00001 Assessor Skill Set or its successor

#### Clause 1.16

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

Original finding: Compliant

Following rectification: n/a

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

☒ ☐

#### Clause 1.17

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

Original finding: Not audited

Following rectification: n/a

#### Clause 1.18

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

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



c) has current industry skills directly relevant to the training and assessment being provided.

Original finding: Not audited

Following rectification: n/a

#### Clause 1.19

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

Original finding: Not audited

Following rectification: n/a

#### Clause 1.20

Without limiting Clauses 1.17 - 1.19, the RTO:

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

Original finding: Not audited

Following rectification: n/a

#### Clause 1.21

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

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

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

#### Clause 1.22

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

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

Original finding: Not audited

Following rectification: n/a

#### Evidence guidance

Y N

A TAE qualification or skill set is included in the audit scope?

☐ ☒

If no, Clauses 1.22 - 1.25 are not audited.

#### Clause 1.23

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

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

Original finding: Not audited

Following rectification: n/a

#### Evidence guidance

Y N



TAE40110, TAE40116, TAESS00001, TAESS00011 and TAESS00010 included in audit scope? ☐ ☒

#### Clause 1.24

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

Original finding: Not audited

Following rectification: n/a

#### Evidence guidance

Y

N

TAE40110, TAE40116, TAESS00001, TAESS00011 and TAESS00010 included in audit scope? ☐ ☒

If no, clause is not audited. If yes:

☐

☐

Does the provider engage a trainer that is working under supervision?

If no, clause is not audited. If yes:

#### Clause 1.25

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

Original finding: Not audited

Following rectification: n/a

#### Clause 1.26

Subject to [Clause 1.27](#) and unless otherwise approved by the VET Regulator, the RTO ensures that:

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

Original finding: Not audited

Following rectification: n/a

#### Evidence guidance

Y

N

N/A

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

If no, clause is not audited. If yes:

#### Clause 1.27

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

Original finding: Not audited

Following rectification: n/a





Evidence guidance	Y	N
One or more training products on the RTO's scope of registration requires delivery of a superseded unit of competency	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clause is not audited. If yes:		

<b>STANDARD 2</b>	<b>The operations of the RTO are quality assured. To be compliant with Standard 2 the RTO must meet the following:</b>
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**Clause 2.1**  
The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

Original finding: Not audited

Following rectification: n/a

**Clause 2.2**  
The RTO:

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

Original finding: Not audited

Following rectification: n/a

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

Original finding: Compliant

Following rectification: n/a

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

- Note: The organisation has developed an MOU for its third party arrangements. Whilst there are no arrangements in place at the time of the audit site visit it is the intention of the organisation to consider the use of third parties in the future; therefore, clauses 2.3, 2.4 and 8.2 have been considered within this report.

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



The above strategies have been implemented

☐ ☐ ☒

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

**Clause 3.1**

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

**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 ☒ ☐

**Clause 3.2**

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

**Original finding:** Not audited

**Following rectification:** n/a

**Evidence guidance**

**Y N**

AQF certification documentation:

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

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

**Clause 3.3**

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

**Original finding:** Not audited

**Following rectification:** n/a

**Clause 3.4**

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

**Original finding:** Not audited

**Following rectification:** n/a

**Clause 3.5**

The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:



- a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
- b) authenticated VET transcripts issued by the Registrar.

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 3.6**

The RTO meets the requirements of the Student Identifier scheme, including:

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

**Original finding:** Not audited

**Following rectification:** n/a

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

#### **Clause 4.1**

Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;
- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;
- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and



- l) does not guarantee that:
- i) a learner will successfully complete a training product on its scope of registration; or
  - ii) a training product can be completed in a manner which does not meet the requirements of [Clause 1.1](#) and [1.2](#); or
  - iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

**Original finding:** Compliant

**Following rectification:** n/a

Evidence guidance	Y	N	N/A
Advertising and marketing:			
• is accurate and factual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the services provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• only refers to a person or organisation with their consent	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where a third party is recruiting prospective learners on behalf of the RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided on behalf of another RTO	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• identifies where training and assessment is being provided by a third party	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• distinguishes between national recognised training and other training	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes the code and title of each training product as per <a href="http://www.training.gov.au">www.training.gov.au</a>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• includes accurate information about licensed or regulated outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes details about financial support provided, including VET FEE-HELP	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• includes details about relevant government funding subsidies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does not guarantee that a learner:			
• will successfully complete a training product	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• can complete a training product in a manner not compliant with <a href="#">Clauses 1.1</a> or <a href="#">1.2</a>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• will obtain a particular employment outcome unless this is in the control of the RTO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

## STANDARD 5

**Each learner is properly informed and protected.**

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



#### Clause 5.1

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies	<input checked="" type="checkbox"/>	<input type="checkbox"/>

#### Clause 5.2

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Prior to enrolment or commencement, written information is provided on the following:			
• code and title of the training product as per <a href="http://www.training.gov.au">www.training.gov.au</a>	<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 type="checkbox"/>	<input type="checkbox"/>	



• location/s where training and/or assessment will be provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• mode/s of delivery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• name and contact details of any third party providing services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• work placement arrangements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• confirmation that the RTO is responsible for compliance of training and/or assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• confirmation that the RTO is responsible for issuance of AQF certification documentation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• details of the RTO complaints and appeals processes (also refer <a href="#">Clauses 6.1 – 6.4</a> )	<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 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"/>

### Clause 5.3

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

a) all relevant fee information including:

i) fees that must be paid to the RTO; and

ii) payment terms and conditions including deposits and refunds;

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

c) the learner's right to obtain a refund for services not provided by the RTO in the event the:

i) arrangement is terminated early; or

ii) the RTO fails to provide the agreed services.

**Original finding:** Compliant

**Following rectification:** n/a

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



#### **Clause 5.4**

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **STANDARD 6**

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

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

#### **Clause 6.1**

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

- a) the RTO, its trainers, assessors or other staff;
- b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff;
- or
- c) a learner of the RTO.

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 6.2**

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 6.3**

The RTO's complaints policy and appeals policy:

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 6.4**

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

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 6.5**

**The RTO:**





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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 6.6**

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

**Original finding:** Not audited

**Following rectification:** n/a

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

#### **Clause 7.1**

The RTO ensures that its executive officers or high managerial agent:

- a) are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
- b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Not audited

#### **Clause 7.2**

The RTO satisfies the *Financial Viability Risk Assessment Requirements*.

Not audited

#### **Clause 7.3**

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 7.4**

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

**Original finding:** Not audited

**Following rectification:** n/a

#### **Clause 7.5**

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

Not audited



<b>STANDARD 8</b>	<b>The RTO cooperates with the VET Regulator and is legally compliant at all times.</b> <b>To be compliant with Standard 8 the RTO must meet the following:</b>
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#### Clause 8.1

The RTO cooperates with the VET Regulator:

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- b) in the conduct of audits and the monitoring of its operations;
- c) by providing quality/performance indicator data;
- d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;
- e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
- f) in the retention, archiving, retrieval and transfer of records.

**Original finding:** Not audited

**Following rectification:** n/a

#### Clause 8.2

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

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

**Original finding:** Not compliant

**Following rectification:** Compliant

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

*Reasons for finding of non-compliance:*

- Sighted MOU document which did not include the requirements as outlined in Clause 8.2. As it is the intention of the organisation to consider third party arrangements in the future, the content of the MOU was evaluated.

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

- During the site audit visit the organisation amended its MOU to comply with the requirements of Clause 8.2.

**No further evidence required.**

#### Clause 8.3

The RTO notifies the Regulator:

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



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

Not audited

**Clause 8.4**

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

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

Not audited

**Clause 8.5**

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

**Original finding:** Not audited

**Following rectification:** n/a

**Clause 8.6**

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

**Original finding:** Not audited

**Following rectification:** n/a