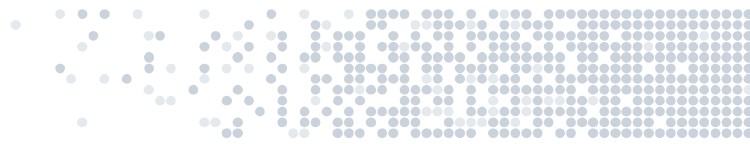


Audit report – VET Quality Framework Standards for Registered Training Organisations (RTOs) 2015

ORGANISATION DETAILS	
Organisation's legal name	Trade Training Group Pty Ltd
Trading name/s	Multi Skills Training
RTO number	40846
CRICOS number	N/A
AUDIT TEAM	
Lead auditor	F. Garai
Auditor/s	N/A
Technical adviser/s	N/A
AUDIT DETAILS	
Application number/s	N/A Post initial audit
Audit number/s	1005669
Audit reason 1	Post initial To assess ongoing compliance with the VQF – focus is on evidence of effective ongoing deployment of systems.
Audit reason 2	n/a specify or delete
Audit reason 3	n/a specify or delete
Activity type	Site visit
Address of site/s visited	Unit 6, 43 - 47 Riverside Avenue Werribee, Vic 3030 38 Lock Ave. Werribee Vic 3030
Date/s of audit	1 to 2 April 2015
Organisation's contact for audit	Lionel Skinner CEO/Director lionel@multiskills.com.au 1300217249
Clauses audited	Clauses: 1.1 – 1.21, 2, 3, 4, 5, 6, 7.3, 7.4, 8.2, 8.6



BACKGROUND

The registered provider first registered as an RTO in February 2014. The main training focus is civil construction, but there is a recent refocus on the Aged care industry.

RTO Management structure

The RTO/organisation has a management team that consists of CEO, and a management team that reports regularly to the CEO.

Other strategic & operational groups that assist the RTO

The RTO/organisation also utilises

Member the Safety Institute of Australia, VELG, The American institute of safety advisors

VET consultant: James Nash

General description of RTO location & facilities

The registered provider delivers training and conducts assessment at the following locations:

- 1 Junction Road Dingley (Traffic Management, Construction induction card, plat units from RII
- 38 Lock Ave. Werribee (Plant operation units, traffic management, dogging,
- Unit 6/43 – 47 Riverside Avenue Werribee Vic 3030

General description of training modes used by the RTO/organisation

The RTO provides training using:

- Face to face classroom based delivery
- workplace based delivery

The registered provider does not deliver training in other states.

RTO/Organisation scope of registration

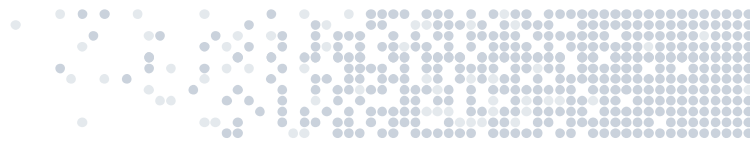
The RTO scope of registration has qualifications/accredited courses/Units of Competency from the following industry training packages:

CHC08, RII, and CPC08, the registered provider also delivers licenced high risk units of competency in accordance with Work Safe Victoria requirements.

RTO/organisation current enrolment/s details

The registered provider had the following enrolments at the time of the audit:

Code	Title	Current enrolments
CHC30212	Certificate III in Aged care	28
CPC30911	Certificate III in Scaffolding	159
RII30813	Certificate III in Civil Construction Plant Operations	185
TLI31610	Certificate III in Warehousing	106



RTO/organisation fee or funding information

The RTO offers its training and services both as a fee for service and government funded provider

Total enrolments at time of audit: 478 students

AUDIT SAMPLE

Code	Training product	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
CHC30212	Certificate III in Aged Care	Face to face, workplace	28
RII30813	Certificate III in Civil Construction Plant Operations	Face to face, work place	185
CPC30911	Certificate III in Scaffolding	Face to face	159
CPCCLHS3002A	Licence to operate a materials hoist	Face to face	NIL
CPCCOHS1001A	Work safely in the construction industry	Face to face	NIL
RIIOHS205A	Control traffic with stop-slow bat	Face to face	NIL
RIIWHS302D	Implement traffic management plan	Face to face	NIL

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

INTERVIEWEES

Name	Position	Training product
Lionel Skinner	CEO/Director	ALL
Nam Nguyen	Compliance	ALL

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 2 April 2015: Critical non-compliance

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

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 26 May 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 compliant	Compliant
Standard 8	Not compliant	Compliant

ABOUT THIS REPORT

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

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

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



Standard 1	The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses. To be compliant with Standard 1 the RTO must meet the following:
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1.1	The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.
------------	---

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

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

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

Reasons for finding of non-compliance:

Evidence audited:

Training and assessment strategies for:

CHC30212 Certificate III in Aged Care
 RII30813 Certificate III in Civil Construction Plant Operations
 CPC30911 Certificate III in Scaffolding
 CPCCLHS3002A Licence to operate a materials hoist
 CPCCOHS1001A Work safely in the construction industry

The registered provider's evidence was found not to meet the requirements of the clause and the relevant training packages and products because:

CHC30212 Certificate III in Aged Care

The duration of training for CHC30212 Certificate III in Aged Care is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for 67 days of training delivered over a period of eight weeks. No rationale was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators e.g. the AQF policy manual prescribes a volume of learning of 1 to 2 years (1200 to 2400 hours) for the delivery of training, the registered provider has identified that learners with no industry experience or essential/required skills and knowledge will be accepted for enrolment. Enrollees without industry experience or essential/required knowledge and skills can not satisfy the requirements of the training package and training products in 67 days.

The registered provider's entry requirements state that learners must be a minimum age of 16 years old. The regulatory advice on the age of learners to work in the aged care industry is minimum 18 years of age.

The training and assessment strategy does not identify the locations where training will be delivered and assessment conducted. Only unit 6 43 -47 Riverside Ave. Werribee is identified as a simulated workplace.



It is not clarified that the current agreement with the registered provider and the aged care facility is that the aged care facility will not take learners for the practical work place placement component until the learners have completed ALL of the required theory training and assessment.

RII30813 Certificate III in Civil Construction Plant Operations

The duration of training for RII30813 Certificate III in Civil Construction Plant Operations is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for 42 days of training delivered over a period of eight weeks. No rationale was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators e.g. the AQF policy manual prescribes a volume of learning of 1 to 2 years (1200 to 2400 hours) for the delivery of training, the registered provider has identified that learners with no industry experience or essential/required skills and knowledge will be accepted for enrolment. Enrollees without industry experience or essential/required knowledge and skills can not satisfy the requirements of the training package and training products in 42 days.

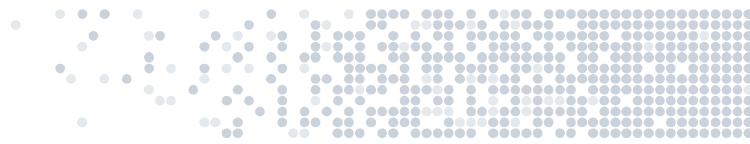
CPC30911 Certificate III in Scaffolding

The duration of training for CPC30911 Certificate III in Scaffolding is not consistent with the volume of learning indicators specified within the Australian Qualifications Framework. The training and assessment strategy advises that delivery is scheduled for 24 days of training delivered over a period of eight weeks. No rationale was provided for the timeframe for training and assessment activities to support the significant deviation from the volume of learning indicators e.g. the AQF policy manual prescribes a volume of learning of 1 to 2 years (1200 to 2400 hours) for the delivery of training, the registered provider has identified that learners with no industry experience or essential/required skills and knowledge will be accepted for enrolment. Enrollees without industry experience or essential/required knowledge and skills can not satisfy the requirements of the training package and training products in 24 days.

The training and assessment strategy identifies under mode of delivery section that the training can meet the requirements **National Standard for Licensing Persons Performing High Risk Work (April 2006)**. The National Standard for Licensing Persons Performing High Risk Work is based on the learner meeting the training package requirements, which includes a suitable volume of learning to ensure essential/required skills and knowledge, are inculcated and demonstrated.

Common problems for all training assessment strategies:

- In accordance with the principles of fairness, validity and reliability, the registered providers training and assessment strategy did not state how a learner would be deemed competent to receive the unit of competency or qualification they have been assessed against.
- In accordance with the principle of fairness, there were no instructions on how assessment appeals are to be managed and conducted.
- In accordance with the principles of fairness, validity and reliability, there were no instructions to either the assessor or the candidate on how reassessment is to be conducted.
- In accordance with the principles of fairness, validity and reliability, there were no instructions to the assessor or the candidate to demonstrate or reference how reasonable adjustments will be applied to meet the learner's specific learning needs.
- In accordance with the principles of validity, reliability and authenticity, there was no reference or instructions to the candidate on what are the consequences for a candidate that has been found cheating or plagiarising evidence during the assessment.
- In accordance with the principles of sufficiency, validity, reliability and currency, the assessment strategy does not identify the clustering of the Units of Competency from the relevant qualification



standard.

- In accordance with the principles of sufficiency, validity, reliability and currency, the organisation had no strategy for assessing and decision making from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.

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

- Demonstrate that the training and assessment strategies sampled have been amended to meet the requirements of the clause.
- Demonstrate that the training and assessment strategies sampled meet the AQF policy manual, and the respective training packages requirements of consistency with the volume of learning indicators specified within the Australian Qualifications Framework.
- Demonstrate that the training and assessment strategies sampled meet the respective training packages requirements for the Principles of Assessment and the Rules of evidence.
- Provide a plan of how the RTO will ensure that the amount of training provided and the durations of training and assessment activities for all of the qualifications sampled will be consistent with the volume of learning indicators specified within the Australian Qualifications Framework and the identified needs of the learners by 1 July 2015.

Analysis of rectification evidence:

Evidence analysed:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

The registered providers evidence demonstrated that 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.



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

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

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

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

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

Reasons for finding of non-compliance:

Evidence audited:

Training and assessment strategies for:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding
- CPCCCLHS3002A Licence to operate a materials hoist
- CPCCOHS1001A Work safely in the construction industry

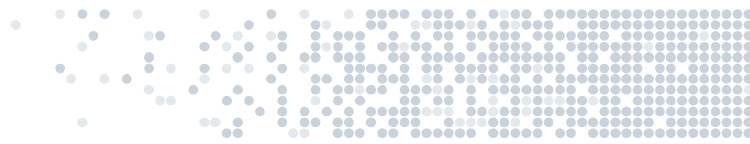
The registered provider's evidence was found not to meet the requirements of the clause and the relevant training packages and products because:

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

- Identify the existing skills, knowledge and the experience of the learner; to meet the amount of training provided and the durations of training and assessment activities for all of the qualifications sampled will be consistent with the volume of learning indicators specified within the Australian Qualifications Framework.

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

- Demonstrate that the training and assessment strategies sampled have been amended to meet the requirements of the clause.
- Demonstrate that the training and assessment strategies sampled identify existing skills, knowledge and the experience of the learner; to meet the amount of training provided and the durations of training and assessment activities for all of the qualifications sampled will be consistent with the volume of learning indicators specified within the Australian Qualifications Framework.
- Provide a plan of how the RTO will ensure that the amount of training provided and the durations of training and assessment activities for all of the qualifications sampled will be consistent with the volume of learning indicators specified within the Australian Qualifications Framework and the identified needs of the learners by 1 July 2015.



Analysis of rectification evidence:

Evidence analysed:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

The registered provider's evidence demonstrated that the RTO determines the amount of training they provide to each learner with regard to the existing skills, knowledge and the experience of the learner.

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

For all training products sampled, there are sufficient:

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

Consistency is evident between each strategy and the above resources

☒ ☐

Reasons for finding of non-compliance:

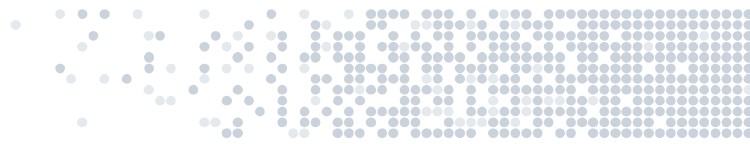
Evidence audited:

Learning resources:

- CHCAC318B Work effectively with older people: Learner guide, RTO developed materials
- CHCCS411C Work effectively in the community sector: Learner guide, RTO developed materials
- CPCCLHS3002A Licence to operate a materials hoist: Personnel and materials hoist information work book CPCCLHS3001A, Easy guides Australia P/L, Edition 1 April 2001
- CPCCOHS1001A Work safely in the construction industry; Learner guide, Easy guides Australia P/L, Edition 1, Version 4
- RIIOHS205A Control traffic with stop-slow bat; learner resource RTO developed materials
- RIIWHS302D Implement traffic management plan: learner resource RTO developed materials
- Earth moving training area 38 Lock Ave. Werribee (Plant operation units, traffic management, dogging,

The registered provider's evidence was found not to meet the requirements of the clause and the relevant training packages and products because:

The learner resource for CPCCLHS3002A Licence to operate a materials hoist is developed for CPCCLHS3001A Personnel and material hoist which have different critical aspects for assessment.



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

Develop a learner resource for CPCCLHS3002A Licence to operate a materials hoist that meets the training package and products critical assessment requirements and the essential/required skills and knowledge.

Analysis of rectification evidence:

Evidence analysed:

- learner guide for CPCCLHS3002A Licence to operate a materials hoist
- Mapping document for learner guide

The registered provider's evidence demonstrated that the RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, 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.

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

☐ ☒

Training and assessment practices are consistent with the requirements of each training product sampled

☐ ☒ ☐

Reasons for finding of non-compliance:

Evidence audited:

Evidence for clauses: 1.1, 1.2, 1.3, 1.6, 1.8, 1.13, & 1.14

The registered provider's evidence was found not to meet the requirements of the clause and the relevant training packages and products because:

The evidence audited for the identified clauses does not satisfy the standard and the respective clause requirements, and does not meet all of the requirements specified in the relevant training package or VET accredited course.

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

Demonstrate that rectification evidence for clauses 1.1, 1.2, 1.3, 1.6, 1.8, 1.13, & 1.14, meets the standard and the respective clause requirements, and meets all of the requirements specified in the relevant training package or VET accredited course.

Analysis of rectification evidence:

Evidence analysed:

Evidence for clauses: 1.1, 1.2, 1.3, 1.6, 1.8, 1.13, & 1.14

The registered provider's evidence demonstrated that the RTO meets all requirements specified in the relevant training package or VET accredited course.



1.5	The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.
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Original finding: Compliant	Following rectification: n/a
Evidence guidance	Y N
Training and assessment practices are informed by and consistent with the outcomes from industry engagement strategies	<input type="checkbox"/> <input type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>	

1.6	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 type="checkbox"/> <input checked="" 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 type="checkbox"/> <input checked="" type="checkbox"/>
• training and assessment strategies	<input type="checkbox"/> <input checked="" type="checkbox"/>
• training and assessment practices	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
• resources, including facilities and equipment	<input checked="" type="checkbox"/> <input type="checkbox"/>
• current industry skills required to be held by trainers and assessors	<input checked="" type="checkbox"/> <input type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>	

Reasons for finding of non-compliance:

- Evidence audited:**
- Training and assessment strategies for:**
- CHC30212 Certificate III in Aged Care
 - RII30813 Certificate III in Civil Construction Plant Operations
 - CPC30911 Certificate III in Scaffolding
 - CPCCLHS3002A Licence to operate a materials hoist
 - CPCCOHS1001A Work safely in the construction industry
- Learning resources:**
- CHCAC318B Work effectively with older people: Learner guide, RTO developed materials
 - CHCCS411C Work effectively in the community sector: Learner guide, RTO developed materials
 - CPCCLHS3002A Licence to operate a materials hoist: Personnel and materials hoist information work book CPCCLHS3001A, Easy guides Australia P/L, Edition 1 April 2001
 - CPCCOHS1001A Work safely in the construction industry; Learner guide, Easy guides Australia P/L, Edition 1, Version 4
 - RIIOHS205A Control traffic with stop-slow bat; learner resource RTO developed materials
 - RIIWHS302D Implement traffic management plan: learner resource RTO developed materials
- The registered provider's evidence was found not to meet the requirements of the clause because, the



evidence audited did not demonstrate the outcomes from industry engagement strategies have been systematically used to inform:

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

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

Demonstrate a plan of how the registered provider will systematically use the outcomes from industry engagement strategies to inform:

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

Analysis of rectification evidence:

Evidence analysed:

05 Industry engagement logs

Contains Industry Engagement Logs for:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

06 Industry engagement plan

Contains Industry Engagement Logs for:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

The registered provider's evidence demonstrated that 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.

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

Following rectification: n/a

Evidence guidance

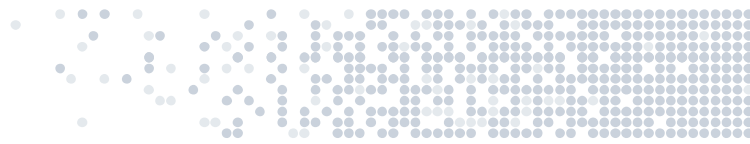
Support needs of learners have been identified

Y **N**

☒ ☐

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

☒ ☐



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

Original finding: Not compliant	Following rectification: Compliant
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Evidence guidance	Y	N	N/A
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CHC30212 Certificate III in Aged Care

Assessment meets the assessment requirements of the training package or course.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
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Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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CHCAC318B Work effectively with older people

Assessment tools consist of:

- Written knowledge test, practical check list

CHCCS411C Work effectively in the community sector

Assessment tools consist of:

- Written knowledge test, practical check list

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

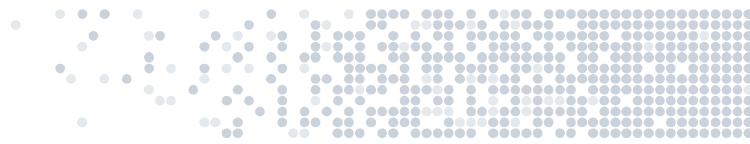
CHCAC318B		CHCCS411C		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback



<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability
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Rules of Evidence – validity, sufficiency, authenticity, currency:

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



Evidence guidance	Y	N	N/A
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RII30813 Certificate III in Civil Construction Plant Operations

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

RIIOHS205A Control traffic with stop-slow bat

Assessment tools consist of:

- Written knowledge test, practical check list

RIIWHS302D Implement traffic management plan

Assessment tools consist of:

- Written knowledge test, practical check list

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

RIIOHS205A		RIIWHS302D		
Y	N	Y	N	Evidence guidance:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Elements addressed (to levels as defined in performance criteria)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Knowledge evidence/required knowledge addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Performance evidence/required skills addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment conditions/critical aspects of evidence addressed
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Context and consistency of assessment addressed to appropriate AQF level
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment of knowledge and skills is integrated with their practical application
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assessment uses a range of assessment methods
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Criteria defining acceptable performance are outlined for all instruments
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability



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

RIIOHS205A		RIIWHS302D			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past
Evidence guidance					Y N N/A

CPCCLHS3002A Licence to operate a materials hoist

CPCCOHS1001A Work safely in the construction industry

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

CPCCLHS3002A Licence to operate a materials hoist

Assessment tools consist of:

- Written knowledge test, practical check list

CPCCOHS1001A Work safely in the construction industry

Assessment tools consist of:

- Written knowledge test, practical check list

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

CPCCLHS3002A		CPCCOHS1001A			
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CPCCLHS30 02A	CPCCOHS1 001A			
Y	N	Y	N	Evidence guidance:
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity: Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity: Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency: Competency judgements include consideration of evidence from the present or the very recent past

Evidence guidance

Y N N/A

CPC30911 Certificate III in Scaffolding

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

CPCCCM1015A Carry out measurements and calculations

Assessment tools consist of:

- Written knowledge test, practical check list

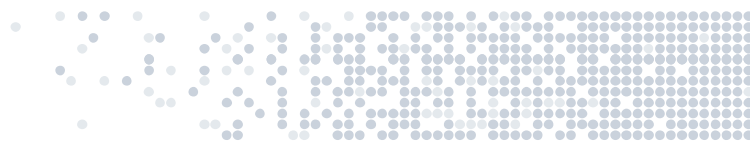
CPCCSC2002A Erect and dismantle basic scaffolding

Assessment tools consist of:

- Work Safe Victoria mandated written knowledge test and practical check list for CPCCLSF3001A Licence to erect alter and dismantle scaffolding intermediate level

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

CPCCCM101 5A	CPCCSC200 2A			
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Clear information about assessment requirements is provided (for assessors and students)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Allows for reasonable adjustment and provides for objective feedback
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Considers dimensions of competency and transferability

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

CPCCCM101 5A		CPCCSC200 2A			
Y	N	Y	N	Evidence guidance:	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Validity:	Assessment evidence considered has direct relevance to the unit or module's specifications
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sufficiency:	Sufficient assessment evidence is considered to substantiate a competency judgement
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Authenticity:	Assessment evidence gathered is the learner's own work
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Currency:	Competency judgements include consideration of evidence from the present or the very recent past

Reasons for finding of non-compliance:

Evidence audited:

Assessment tools for:

CHCAC318B Work effectively with older people

CHCCS411C Work effectively in the community sector

CPCCLHS3002A Licence to operate a materials hoist

CPCCOHS1001A Work safely in the construction industry

RIOHS205A Control traffic with stop-slow bat

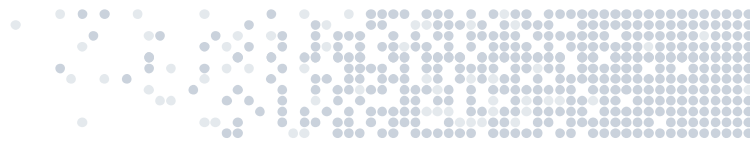
RIIWH302D Implement traffic management plan

CPCCCM1015A Carry out measurements and calculations

CPCCSC2002A Erect and dismantle basic scaffolding, the assessment tools used is Work Safe Victoria mandated assessment tool for CPCCLSF3001A Licence to erect, alter and dismantle scaffolding intermediate level. The mandated assessment tool assesses the candidate's skills and knowledge to erect and dismantle basic scaffolding, before demonstrating to the intermediate level.

The registered provider's assessment system does not ensure that assessment (including recognition of prior learning):

1. complies with the assessment requirements of the relevant training package or VET accredited course,
2. 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. and

3. assessment meets the assessment requirements of the training package or course.

There were No RPL Assessment tools available for the following qualifications:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

Common non-compliances for the Principles of Assessment & Rules of Evidence for:

- CHCAC318B Work effectively with older people
- CHCCS411C Work effectively in the community sector
- CPCCOHS1001A Work safely in the construction industry
- RIIOHS205A Control traffic with stop-slow bat
- RIIWHS302D Implement traffic management plan
- In accordance with the principles of fairness, validity, sufficiency and reliability, there were no instructions to the assessor or the candidate on how to conduct the assessment in regards to the standard the candidate is required to meet to be deemed competent and no conditions of the assessment were stated. e.g. the time allowed for the candidate to complete the assessment tasks, if the candidate is allowed to refer to learning resources to provide answers to questions i.e. open or closed book assessment.
- In accordance with the principles of reliability and validity, there were no assessment instructions for the assessor to assist making decision from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency.
- In accordance with the principle of fairness, there were no instructions on how assessment appeals are to be managed and conducted.
- In accordance with the principles of fairness, validity and reliability, there were no instructions to either the assessor or the candidate on how reassessment is to be conducted.
- In accordance with the principles of fairness, validity and reliability, there were no instructions to the assessor or the candidate to demonstrate or reference how reasonable adjustments will be applied to meet the learner's specific learning needs.
- In accordance with the principles of validity, reliability and authenticity, there was no reference or instructions to the candidate on what are the consequences for a candidate that has been found cheating or plagiarising evidence during the assessment.
- The organisations assessment tools did not specify all of the resources, both human and physical, that will be used to meet the requirements for conducting the assessment,
- In accordance with the principles of validity, sufficiency, fairness and reliability, there were no assessment instructions for the assessor to assist making decision from multiple sources of assessment evidence across different methods and or tasks in relation to clustered units of competency,
- In accordance with the principles of validity, sufficiency, flexibility, fairness and reliability, there were no instructions to either the assessor or the candidate on how reassessment is to be conducted.
- In accordance with the principles of validity, fairness and reliability, there were no instructions to either the assessor or the candidate on how assessment appeals are to be managed and conducted,
- In accordance with the principles of fairness, reliability, validity, flexibility, and sufficiency, Multiple assessments were identified for a Unit of Competency; it was not clear which assessments are to determine a student's progress (Formative Assessments) and which assessments are to determine a



student's competence against the Unit of Competency (Summative Assessments),

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

Demonstrate that RPL assessment tools have been created for the following qualifications:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

Demonstrate that the sampled assessment tools and the created RPL assessment tools:

- a) comply with the assessment requirements of the relevant training package or VET accredited course,
- 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. and the common non-compliance points detailed above in the audit report,
- c) assessment meets the assessment requirements of the training package or course, and
- d) assessment appropriately simulates workplace conditions.

Analysis of rectification evidence:

Evidence analysed:

Assessment materials for each of the following units:

- CPCCOHS1001A Work safely in the construction industry
- CHCAC318B Work effectively with older people
- CHCCS411C Work effectively in the community sector
- RIIWHS205D Control traffic with stop-slow bat and RIIWHS302D Implement traffic management plan

RPL Instruments for the following qualifications:

- CHC30212 Certificate III in Aged Care
- RII30813 Certificate III in Civil Construction Plant Operations
- CPC30911 Certificate III in Scaffolding

The registered provider's evidence demonstrated that 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.



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

Original finding: Compliant

Following rectification: n/a

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

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

Following rectification: n/a

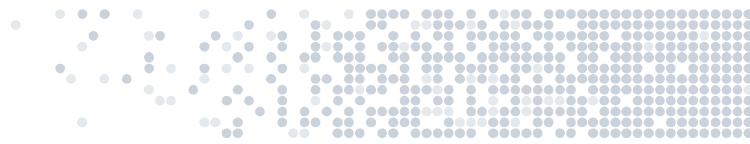
Evidence guidance	Y	N	N/A
The plan for validation of assessment ensures:			
• All training products will be validated at least once every five years	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• At least 50% of training products will be validated in the first three years of the above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



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

1.12	The RTO offers recognition of prior learning to individual learners.
Original finding: Compliant	Following rectification: n/a
Evidence guidance	Y N
RPL has been offered to individual learners	<input checked="" type="checkbox"/> <input type="checkbox"/>



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

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

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

Original finding: Not compliant

Following rectification: Compliant

Evidence Guidance

Skills and knowledge of trainers and assessors have been verified

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

David Rowan

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

RII30813 Certificate III in Civil Construction Plant Operations

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

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

<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Current vocational training and learning knowledge and skills

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

Kirsty Fatchen

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

CHC30212 Certificate III in Aged Care

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

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

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

CHC30212 Certificate III in Aged Care

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

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

<input checked="" type="checkbox"/>	<input type="checkbox"/>
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Current vocational training and learning knowledge and skills

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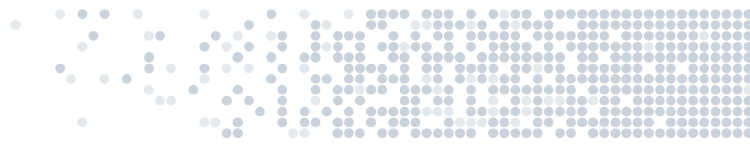
Lionel Skinner

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

CPC30911 Certificate III in Scaffolding

Vocational competencies at least to the level being delivered and assessed (actual

<input checked="" type="checkbox"/>	<input type="checkbox"/>
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qualification/unit not required)		
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Bob Reid		
Trainer/assessor of following training products within scope of audit:		
RII30813 Certificate III in Civil Construction Plant Operations		
Vocational competencies at least to the level being delivered and assessed (actual qualification/unit not required)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current relevant industry skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Current vocational training and learning knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Michael Davie		
Trainer/assessor of following training products within scope of audit:		
RII30813 Certificate III in Civil Construction Plant Operations		
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:

Evidence audited:

Staff files for:

- David Rowan: RII30813 Certificate III in Civil Construction Plant Operations
- Kirsty Fatchen: CHC30212 Certificate III in Aged Care
- Michelle McNally: Certificate III in Aged Care
- Lionel Skinner: CPC30911 Certificate III in Scaffolding
- Bob Reid: RII30813 Certificate III in Civil Construction Plant Operations
- Michael Davie: RII30813 Certificate III in Civil Construction Plant Operations

The registered provider's evidence did not demonstrate the RTO's training and assessment is delivered only by persons who have:

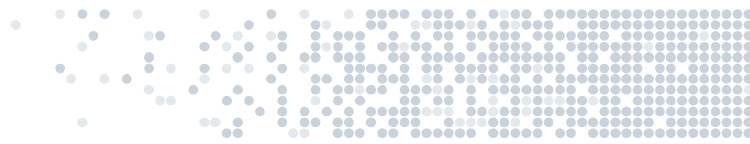
- a) the vocational competencies at least to the level being delivered and assessed;
- b) the current industry skills directly relevant to the training and assessment being provided; and
- c) the current knowledge and skills in vocational training and learning that informs their training and assessment.

Trainers and assessors Kirsty Fatchen and Michael Davie staff files did not have evidence that they satisfy the criteria detailed above.

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

Demonstrate evidence that Kirsty Fatchen and Michael Davie have:

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



Analysis of rectification evidence:

Evidence analysed:

Trainer information for:

1. Kirsty Fatchen
2. Michael Davies
 - Trainer matrix
 - Resume
 - Copies of relevant training and vocational licences

The registered provider's evidence demonstrated that 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.

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"/>

David Rowan

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

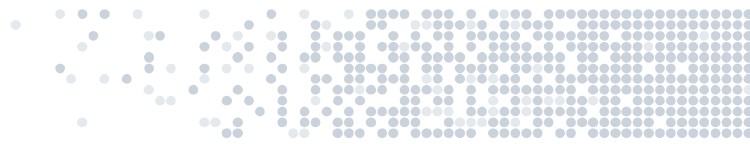
- | | | |
|---|-------------------------------------|--------------------------|
| • TAE40110 Certificate IV in Training and Assessment or its successor | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Equivalent competencies to TAE40110 (TAA40104 is equivalent) | <input type="checkbox"/>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

Kirsty Fatchen

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

Michelle McNally



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

Lionel Skinner

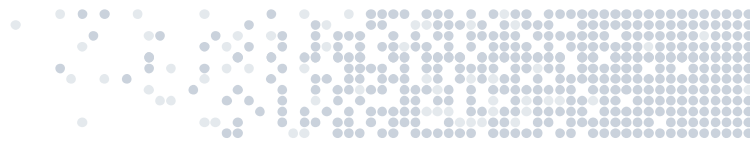
Each trainer must meet at least one of the following four requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Equivalent competencies to TAE40110 (TAA40104 is equivalent)	<input type="checkbox"/>	<input type="checkbox"/>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

Bob Reid

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

Michael Davie

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



Reasons for finding of non-compliance:

Evidence audited:

Staff files for:

- David Rowan: RII30813 Certificate III in Civil Construction Plant Operations
- Kirsty Fatchen: CHC30212 Certificate III in Aged Care
- Michelle McNally: Certificate III in Aged Care
- Lionel Skinner: CPC30911 Certificate III in Scaffolding
- Bob Reid: RII30813 Certificate III in Civil Construction Plant Operations
- Michael Davie: RII30813 Certificate III in Civil Construction Plant Operations

The registered provider's evidence did not demonstrate the RTO's training and assessment is delivered only by persons who have 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.

Trainers and assessors Kirsty Fatchen and Michael Davie staff files did not have evidence that they satisfy the criteria detailed above.

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

Demonstrate evidence that Kirsty Fatchen and Michael Davie have the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies.

Analysis of rectification evidence:

Evidence analysed:

Trainer information for:

Kirsty Fatchen: Copy of TAE40110 Certificate IV in Training and assessment, LP communications, 9 January 2012.

Michael Davies: Copy of TAE40110 Certificate IV in Training and assessment, Inspire education, 1 April 2015.

The registered provider's evidence demonstrated that the RTO's training and assessment is delivered only by persons who have; 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.

- 1.15 Where a person conducts assessment only, the RTO ensures that the person has:**
- 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**
 - ~~from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.~~**

Original finding: Not audited

Following rectification: n/a

Evidence guidance

The RTO uses assessors that conduct assessment only.

If no, clause is not audited. If yes:

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

Assessor name

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

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



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

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

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

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

Reasons for finding of non-compliance:

Evidence audited:

Staff files for:

- David Rowan: RII30813 Certificate III in Civil Construction Plant Operations
- Kirsty Fatchen: CHC30212 Certificate III in Aged Care
- Michelle McNally: Certificate III in Aged Care
- Lionel Skinner: CPC30911 Certificate III in Scaffolding
- Bob Reid: RII30813 Certificate III in Civil Construction Plant Operations
- Michael Davie: RII30813 Certificate III in Civil Construction Plant Operations

The registered provider's evidence did not demonstrate that 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.

David Rowan, Michelle McNally, Lionel Skinner, Bob Reid:

Have not continued to develop their vocational education and training (VET) knowledge and skills as well as their trainer/assessor competence.

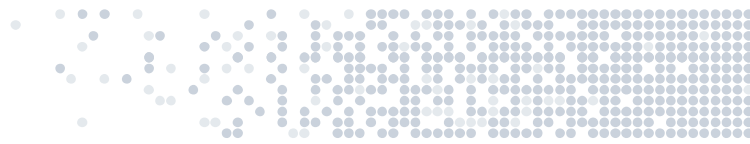
Kirsty Fatchen, Michael Davie:

Have not continued to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

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

Demonstrate that all trainers and assessors have undertaken professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Demonstrate a plan of how all trainers and assessors will undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.



Analysis of rectification evidence:

Evidence analysed:

Professional development logs for:

Kirsty Fatchen, Michael Davies, David Rowan, Michelle McNally, Lionel Skinner, Bob Reid,

Professional development plan has been developed for each Industry area for the next 12 months.

The registered provider's evidence demonstrated that 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.

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
People delivering training under supervision are utilised	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.21. If yes:		
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14	<input type="checkbox"/>	<input type="checkbox"/>
People under supervision do not determine assessment outcomes	<input type="checkbox"/>	<input type="checkbox"/>

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14	<input 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.
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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.
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Original finding: Not audited

Following rectification: n/a

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

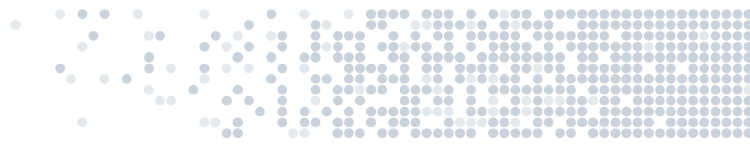
Trainer/assessor name		
Each trainer/assessor that intends to deliver TAE40110 Certificate IV in Training and Assessment or TAESS00001 Assessor skill set must meet at least one of the following eight requirements:		
• TAE40110 Certificate IV in Training and Assessment or its successor	<input type="checkbox"/>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

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

1.22	From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered. Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).
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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
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1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:

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

Not audited as clause does not commence until 1 January 2017

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

Not audited as clause does not commence until 1 January 2017

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

Not audited as clause does not commence until 1 January 2016

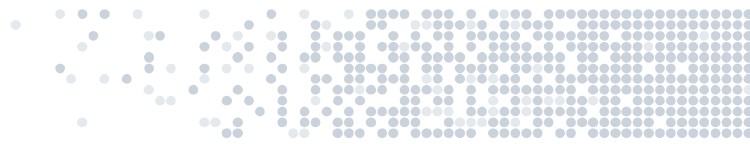


- 1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:**
- a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N	N/A
One or more training products on the RTO's scope of registration has been superseded, removed or deleted since 1 April 2015	<input type="checkbox"/>	<input type="checkbox"/>	
If no, clause is not audited. If yes:			
Learners have been completed and issued certification or transferred to the replacement within one year of training products being superseded	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners have been completed and issued certification within two years of qualifications being removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners have been completed and issued certification within one year of skill sets, units, modules or short courses being removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learners are not commenced in training products that have been removed or deleted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>NOTE – transition arrangements may apply to this clause for audits conducted prior to 30 June 2015</i>			



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

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If no, clause is not audited. If yes:

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

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

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

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

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

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Reasons for finding of non-compliance:

Evidence audited:

Evidence for Standards: 1, 2, 3, 4, 5, 6, 7, & 8.

The registered provider's evidence does not demonstrate that the RTO is compliant with the Standards for RTOs across all operations within its scope of registration because significant and critical non-compliances were identified at the time of audit.

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

Demonstrate that the rectification evidence satisfies the requirements for all of the standards found to be non-compliant, and demonstrate that the RTO is compliant with the Standards for RTOs across all operations.

Analysis of rectification evidence:

Evidence analysed:

Evidence for Standards: 1, 2, 3, 4, 5, 6, 7, & 8.

The registered provider's evidence demonstrates that the RTO is compliant with the Standards for RTOs across all operations within its scope of registration because significant and critical non-compliances were identified at the time of audit.



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 compliant

Following rectification: Compliant

Evidence guidance

Y N

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

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

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Outcomes of monitoring have informed improvement activities

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Reasons for finding of non-compliance:

Evidence audited:

- Continuous improvement policy and procedure
- Continuous improvement register/log
- External audit conducted by VET consultant
- Internal quality audit
- Staff meetings minutes
- Learner post course feedback questionnaires
- Industry engagement surveys

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

The registered provider does not follow its policies and procedures for continuous improvement in that the continuous improvement register/log has not been maintained and kept up to date with matters identified from staff meetings minutes, industry engagement surveys, and learner feedback questionnaires

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

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



assessor feedback and complaints and appeals.

Analysis of rectification evidence:

Evidence analysed:

- Quality Management Policy and Procedure
- Validation Policy and procedure
- Industry Engagement policy and procedure
- Quality Indicators policy and procedure
- Meeting minutes contains minutes for Aged Care course as a sample.

The registered provider's evidence demonstrated that the RTO will systematically monitor 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.

Reasons for outstanding non-compliance:

- Not applicable at this time

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

Third party arrangements are in place for delivery of services

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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)

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N N/A

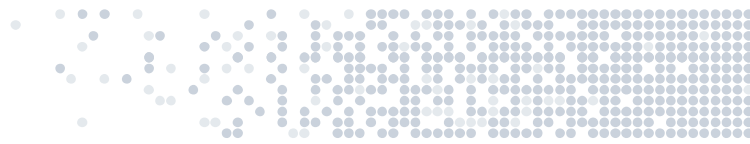
Strategies have been developed to systematically monitor third party arrangements to ensure services comply with these Standards

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The above strategies have been implemented

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



Standard 3.	The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records. To be compliant with Standard 3 the RTO must meet the following:
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3.1	The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.
------------	--

Original finding: Not compliant	Following rectification: Compliant
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 type="checkbox"/> <input checked="" type="checkbox"/>

Reasons for finding of non-compliance:

Evidence audited:

- Issuing AQF certificates policy and procedure
- Student handbook

The RTO's evidence does not identify that it will issue 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.

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

Demonstrate that the RTO's policies and procedures and the information provided to learners has been amended to identify that the RTO will only issue AQF certification documentation 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.

Analysis of rectification evidence:

Evidence analysed:

- Issuing AQF qualifications policy & procedure
- Student handbook

The registered provider's evidence demonstrated that the RTO will only issue AQF certification documentation 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.



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y

N

AQF certification documentation:

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

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

Reasons for finding of non-compliance:

Evidence audited:

- Sample Testamur & Statement of attainment template

The registered provider's evidence did not satisfy AQF issuance policy 2.1.6 because the authenticity of the document is not in a form to reduce fraud.

The registered provider's evidence did not satisfy the AQF register issuance policy 2.4.2 because the sample register does not identify the AQF qualification/unit of competency by its code and full title.

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

Demonstrate that AQF certification documentation:

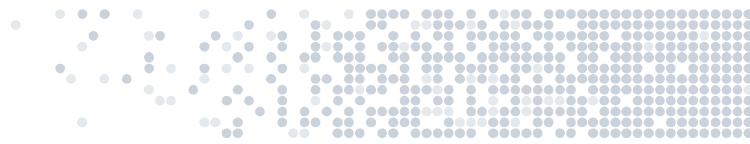
- Complies with the AQF Qualifications Issuance Policy
- Complies with the requirements of Schedule 5 to these Standards, and
- A register of all qualifications issued is maintained in accordance with the AQF Policy Manual.

Analysis of rectification evidence:

Evidence analysed:

- Issuing AQF qualifications policy & procedure
- An embossed company seal that reduces the ability for fraudulent re-production.
- Award Registers contain a qualification register for full qualifications and another for Statement of Attainments.

The registered provider's evidence demonstrated that all AQF certification documentation issued by an RTO 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: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

☐ ☒

Reasons for finding of non-compliance:

Evidence audited:

- Issuing AQF certificates policy and procedure
- Student handbook

The registered provider's evidence does not demonstrate that it will issue AQF certification 30 days after completing the training.

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

Demonstrate that the evidence audited has been amended to identify that AQF certification documentation is issued within 30 days of all requirements being met.

Analysis of rectification evidence:

Evidence analysed:

- Issuing AQF qualifications policy & procedure
- Student handbook

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

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

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Y N

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

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The above records are accessible to current and past learners

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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.
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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 <i>Student Identifiers Act 2014</i>; 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.
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Original finding: Compliant

Following rectification: n/a

Evidence guidance	Y	N	N/A
Student Identifiers are verified before being used	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
AQF certification document is not issued to an individual without a verified Student Identifier, unless an exemption applies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Where an exemption applies, learners are informed prior to commencement that results will not be included in the USI system	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security of Student Identifiers and related records is ensured	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
NOTE – ALL RTOs must comply with Clause 3.6 from 1 January 2015			



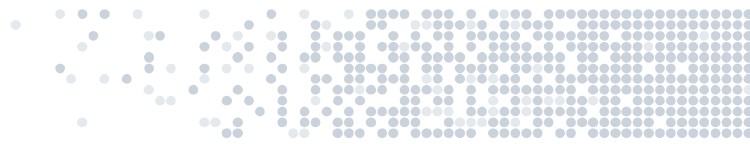
Standard 4.	Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients. To be compliant with Standard 4 the RTO must meet the following:
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4.1	Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:
	<ul style="list-style-type: none"> a) accurately represents the services it provides and the training products on its scope of registration; b) includes its RTO Code; c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained; d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4; e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf; f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party; g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO; h) includes the code and title of any training product, as published on the National Register, referred to in that information; i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration; j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised; k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and l) does not guarantee that: <ul style="list-style-type: none"> i) a learner will successfully complete a training product on its scope of registration; or ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Original finding: Not compliant

Following rectification: Compliant

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 checked="" type="checkbox"/>	<input type="checkbox"/>	
• Accurately represents the RTO scope of registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Includes the RTO code	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
• Only refers to a person or organisation with their consent	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



- | | | | |
|--|-------------------------------------|-------------------------------------|-------------------------------------|
| • Identifies where a third party is recruiting prospective learners on behalf of the 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 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 type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Includes details about financial support provided, including VET FEE-HELP | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Includes details about relevant government funding subsidies | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input 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:

Evidence audited:

- Marketing and Promotional material Policy and Procedure
- Marketing and Promotional material development check list

Sample marketing brochures for:

- First Aid - Flyer
- Materials Hoist course
- MultiSkills-CERTIFICATE-III-CIVIL-PLANT-A4-Flyer-v4
- MultiSkills-CERTIFICATE-III-SCAFFOLDING-A4-Flyer-v6
- MultiSkills-Training-CERTIFICATE-III-AGED-CARE-A4-Flyer-v6
- Traffic
- White Card

The registered provider's evidence does not demonstrate that the RTO's marketing material:

Is accurate and factual, because the marketing and promotional material policy and procedure, and development check list does not identify:

- criteria of when marketing material is to be reviewed and changed.

The marketing flyers/brochures audited do not identify:

- information about licensed or regulated outcomes where applicable.
- details about financial support provided, including VET FEE-HELP
- details about relevant government funding subsidies

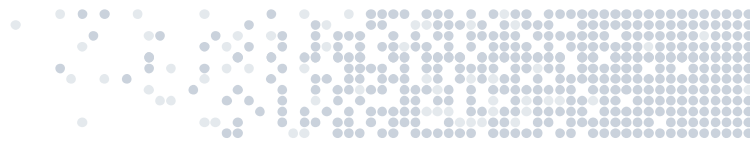
The registered provider has an agreement for work place placement to satisfy the training package requirements for practical workplace experience, with an aged care provider, the flyer/brochure for the Certificate III in Aged Care does not clearly identify that learners will obtain a particular employment outcome unless this is in the control of the RTO.

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

Demonstrate that the RTO's policies and procedures have been amended to ensure what the criteria will be for marketing material to be reviewed and changed.

Demonstrate that the RTO's marketing flyers/brochures clearly identify:

- information about licensed or regulated outcomes where applicable,
-



- details about financial support provided, including VET FEE-HELP if applicable, and
- details about relevant government funding subsidies if applicable.

Demonstrate that the RTO's flyers/brochures ensure that learners will obtain a particular employment outcome unless this is in the control of the RTO.

Analysis of rectification evidence:

Evidence analysed:

- Marketing materials policy and procedure
- Marketing materials checklist
- Student Handbook

Marketing brochures and complete checklists for:

- CHC30212
- CPC30911
- RII30813

The registered provider's evidence demonstrated that the RTO's marketing material is accurate and factual.

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.
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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

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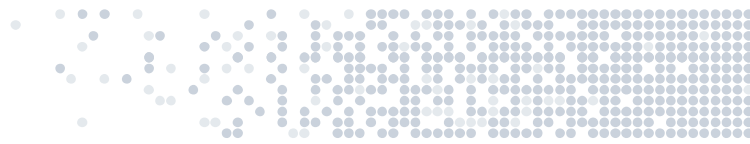


- 5.2** Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a 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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



– 6.4)

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

Reasons for finding of non-compliance:

Evidence audited:

- Pre-Enrolment policy & procedure
- Fees charges, and refund policy & procedure
- Enrolment policy & procedure
- Pre training review form, consisting of questions about the learners needs during training, and a simple literacy & numeracy test.
- Student Information handbook
- RTO Website

The registered providers evidence does not demonstrate prior to enrolment or commencement, written information is provided on the following:

1. The registered provider's student information hand book refers to the learner being able to access the RTO's refund policy on their web site, but when the website was analysed there is no refund policy available.
 - Location/s where training and/or assessment will be provided
 - Mode/s of delivery
 - The learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment
 - Any entry requirements
 - Any materials and equipment the learner must provide
 - Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment

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

Demonstrate that the evidence sampled has been amended to ensure accurate and factual written information is provided to the prospective learner, or enrolled learner prior to enrolment or at commencement of the training.

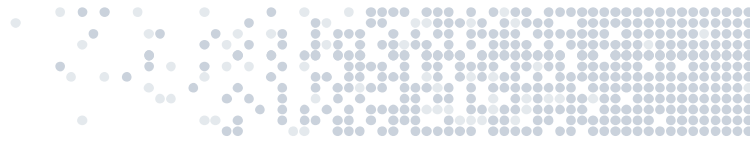
Analysis of rectification evidence:

Evidence analysed:

1. Student handbook
2. Marketing brochures and complete checklists for:
 - CHC30212
 - CPC30911
 - RII30813

The registered provider's evidence demonstrated that prior to enrolment or commencement, written information is provided on the following:

- Code and title of the training product as per training.gov.au



- Currency of the training product
- Estimated duration of training and/or assessment
- Location/s where training and/or assessment will be provided
- Mode/s of delivery
- Name and contact details of any third party providing services
- Work placement arrangements
- Confirmation that the RTO is responsible for compliance of training and/or assessment
- Confirmation that the RTO is responsible for issuance of AQF certification documentation
- Details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)
- The learner's rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment
- The learner's obligation to repay any VET FEE-HELP debt
- Any entry requirements
- Any materials and equipment the learner must provide
- Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment



- 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: Not compliant

Following rectification: Compliant

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 type="checkbox"/>	<input checked="" type="checkbox"/>	
• Payment terms and conditions	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>

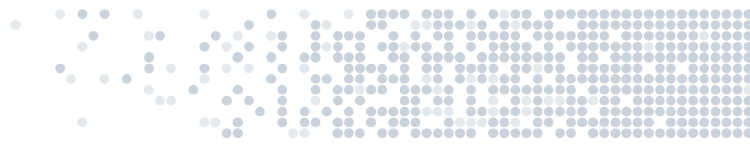
Reasons for finding of non-compliance:

Evidence audited:

- Pre-Enrolment policy & procedure
- Fees, charges, and refund policy & procedure
- Enrolment policy & procedure
- Pre training review form, consisting of questions about the learners needs during training, and a simple literacy & numeracy test.
- Student Information handbook
- RTO website

The registered providers evidence does not demonstrate how the RTO informs the learner of the following:

- Payment terms and conditions
- Refund terms and conditions
- The learner's statutory right to a cooling-off period
- all fees payable to the RTO, clearly describing all costs involved with the course
- how and when fees must be paid e.g. before receiving their AQF certification all fees must be paid in full
- how to request a refund
- conditions under which a refund would be provided.



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

Demonstrate how the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- payment terms and conditions,
- refund terms and conditions,
- the learner's statutory right to a cooling-off period,
- all fees payable to the RTO, clearly describing all costs involved with the course,
- how and when fees must be paid e.g. before receiving their AQF certification all fees must be paid in full,
- how to request a refund, and
- conditions under which a refund would be provided.

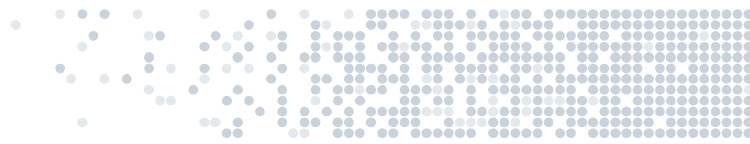
Analysis of rectification evidence:

Evidence analysed:

- Student handbook

The registered provider's evidence demonstrated that the RTO informs the learner of the following:

- Payment terms and conditions.
- Refund terms and conditions.
- The learner's statutory right to a cooling-off period.
- all fees payable to the RTO, clearly describing all costs involved with the course.
- how and when fees must be paid e.g. before receiving their AQF certification all fees must be paid in full.
- how to request a refund.
- conditions under which a refund would be provided.



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:

Evidence audited:

- Pre-Enrolment policy & procedure
- Enrolment policy & procedure
- Pre training review form, consisting of questions about the learners needs during training, and a simple literacy & numeracy test.
- Student Information handbook
- RTO website

The registered provider's current evidence does not provide information to learners in regards to how:

- Learners are able to contact both your RTO and any third party providers at any time.
- You must confirm to prospective learners that your RTO is responsible for the quality of training and assessment provided and for the issuing of all qualifications and statements of attainment, and that any changes to the arrangements will be communicated to the learner.

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

Demonstrate how the RTO will inform learners in regards to how:

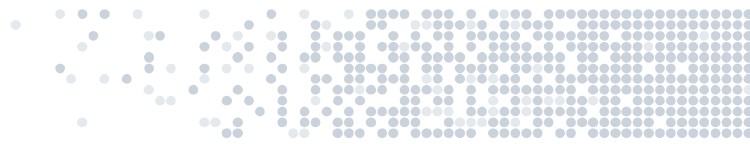
- Learners will be able to contact your RTO and any third party providers at any time.
- You will confirm to prospective learners that your RTO is responsible for the quality of training and assessment provided and for the issuing of all qualifications and statements of attainment, and that any changes to the arrangements will be communicated to the learner.

Analysis of rectification evidence:

Evidence analysed:

- Student handbook

The registered provider's evidence demonstrated that the RTO advises the learner as soon practicable of any changes to agreed services.



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

Reasons for finding of non-compliance:

<u>Evidence audited:</u>
<ul style="list-style-type: none"> Complaints and appeals policy and procedure Student Information handbook RTO website

The registered provider's evidence does not identify how the RTO will manage and respond to allegations involving the conduct of a learner of the RTO.

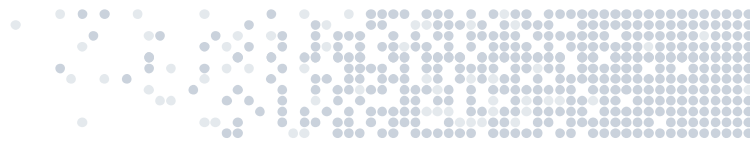
In order to become compliant, the organisation is required to:

1. Demonstrate that the RTO's complaints and appeals policy and procedure will manage and respond to allegations involving the conduct of a learner of the RTO.
2. Demonstrate how the RTO will inform learners enrolled in their training of how the RTO will manage and respond to allegations involving the conduct of a learner of the RTO.

Analysis of rectification evidence:

<u>Evidence analysed:</u>
<ul style="list-style-type: none"> Complaints and appeals policy and procedure Student handbook

The registered provider's evidence demonstrated that the RTO will manage and respond to allegations involving the conduct of a learner of the RTO.



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: Not compliant

Following rectification: Compliant

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 ☐ ☒

Reasons for finding of non-compliance:

Evidence audited:

- Complaints and appeals policy and procedure
- Student Information handbook
- RTO website

The registered provider's evidence does not identify:

- The adoption of the principles of natural justice and procedural fairness, as no time frames for lodging the complaint or appeal, and no time frames for the complaints and or appeals process is defined,
- Does not include a procedure for submitting a complaint or appeal
- Does not ensure complaints and appeals are acknowledged in writing
- Does not ensure complaints and appeals are finalised as soon as practicable

- Does not provide for review of complaints and appeals by an independent party

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

Demonstrate the RTO's complaints policy and appeals policy:

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

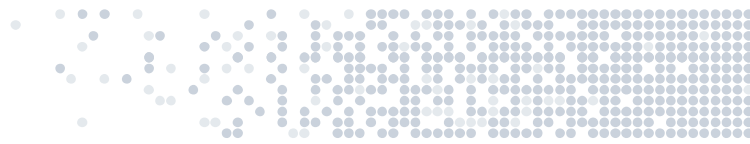
Analysis of rectification evidence:

Evidence analysed:

- Complaints and appeals policy and procedure
- Student handbook
- Website: <http://multiskills.com.au/policies-procedures>

The registered provider's evidence demonstrated that the RTO will:

- apply the principles of natural justice and procedural fairness
- includes a procedure for submitting a complaint or appeal
- ensures complaints and appeals are acknowledged in writing
- ensures complaints and appeals are finalised as soon as practicable
- provides a 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: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Where more than 60 calendar days have been required to process a complaint or appeal:	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• The complainant or appellant is advised in writing of the reasons	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
• The complainant or appellant is regularly updated in writing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Reasons for finding of non-compliance:

Evidence audited:

- Complaints and appeals policy and procedure
- Student Information handbook
- RTO website

The registered provider's evidence does not inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and that the RTO will regularly update the complainant or appellant on the progress of the matter.

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

Demonstrate 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.

Analysis of rectification evidence:

Evidence analysed:

- Complaints and appeals policy and procedure
- Student handbook
- Website: <http://multiskills.com.au/policies-procedures>

The registered provider's evidence demonstrated that where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

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



6.5 The RTO:

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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance	Y	N	N/A
Secure records are maintained of all complaints and appeals and their outcomes	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Potential cause of complaints and appeals are identified and corrective action taken	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Reasons for finding of non-compliance:

Evidence audited:

- Complaints and appeals policy and procedure
- Records management policy and procedure
- Student Information handbook
- RTO website

The registered providers evidence did not demonstrate how it:

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

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

Demonstrate how the RTO will:

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

Analysis of rectification evidence:

Evidence analysed:

- Complaints and appeals policy and procedure
- Student handbook
- Website: <http://multiskills.com.au/policies-procedures>

The registered provider's evidence demonstrated that RTO will:

- securely maintain records of all complaints and appeals and their outcomes; and
- will identify potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.



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.
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Original finding: Not audited

Following rectification: n/a

Evidence guidance

Y N

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

☐ ☐

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

Not audited

7.2 The RTO satisfies the *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

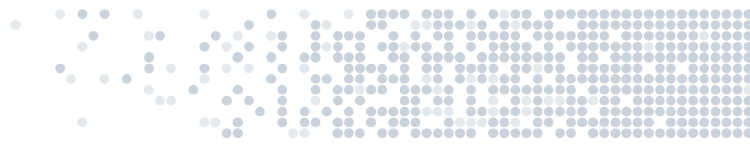
Y N

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

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If no, clause is not audited. If yes:

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



- Be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount

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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:
 - 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
2. The RTO holds current membership of a Tuition Assurance Scheme approved by ASQA
3. Any other fee protection measure approved by ASQA

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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

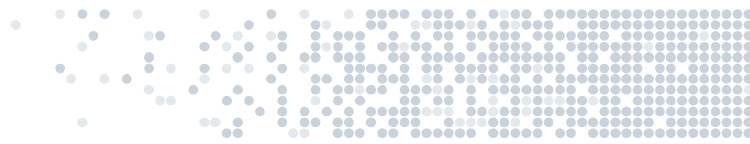
Evidence guidance

Y N

Public liability insurance is in place that:

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

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☒ ☐



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

Not audited

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

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

Original finding: Not audited

Following rectification: n/a

Evidence guidance	Y	N
The RTO co-operates with ASQA:		
• By providing accurate and truthful responses to information requests relevant to the RTO's registration	<input type="checkbox"/>	<input type="checkbox"/>
• In the conduct of audits and the monitoring of its operations	<input type="checkbox"/>	<input type="checkbox"/>
• By providing quality/performance indicator data	<input type="checkbox"/>	<input type="checkbox"/>
• By providing information about substantial changes to its operations or significant changes to its ownership or any event that would significantly affect the RTO's ability to comply with these standards within 90 days of the change occurring	<input type="checkbox"/>	<input type="checkbox"/>
• In the retention, archiving, retrieval and transfer of records	<input type="checkbox"/>	<input type="checkbox"/>

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



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

Original finding: Not audited

Following rectification: n/a

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

- 8.3 The RTO notifies the Regulator:**
- a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and**
 - b) within 30 calendar days of the agreement coming to an end.**

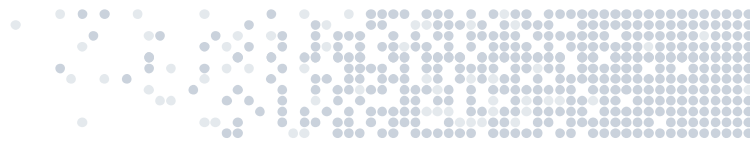
Not audited

- 8.4 The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:**
- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and**
 - b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.**

Not audited

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

Not audited



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

Original finding: Not compliant

Following rectification: Compliant

Evidence guidance

Y N

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

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Reasons for finding of non-compliance:

Evidence audited:

- Student Information handbook
- RTO Website
- No evidence for Staff presented at time of audit

The registered provider did not demonstrate how it will ensure its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

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

Demonstrate how the RTO will ensure its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Analysis of rectification evidence:

Evidence analysed:

- Compliance with VET Quality Framework & Legislative Requirements Policy
- Student Handbook
- Trainer and Assessor Handbook

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